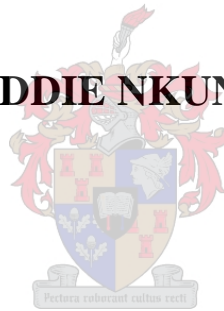


# **AN ASSESSMENT OF THE PERFORMANCE APPRAISAL FOR IMMIGRATION OFFICERS OF THE DEPARTMENT OF HOME AFFAIRS AT O R TAMBO INTERNATIONAL AIRPORT**

by

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*Thesis presented in partial fulfilment of the requirements for the degree Master  
of Public Administration in the faculty of Economic and Management Sciences  
at Stellenbosch University*

Supervisor: Mr Zwelinzima Ndevu

March 2015

## **Declaration**

By submitting this thesis electronically, I, Matthews Eddie Nkuna-Mavutane, declare that the entire work contained therein is my own original work, that I am the sole author thereof (save to the extent explicitly otherwise stated), that reproduction and publication thereof by Stellenbosch University will not infringe any third party rights and that I have not in its entirety or in part submitted it for obtaining any qualification.

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## Abstract

**Purpose:** The study had four aims. Firstly, it sought to determine whether there was generalisation in the performance appraisal of Immigration Officers of the Department of Home Affairs (DHA) stationed at the O R Tambo International Airport. Secondly, it sought to determine whether the Immigration Officers were appraised solely to adhere to administrative directives. Thirdly, it had to determine whether errors were occurring when Immigration Officers were being appraised. Lastly, it sought to determine whether the appraisal process had any evaluative and developmental value.

**Approach:** An empirical and non-empirical approach was used in the study. The non-empirical component consisted of a literature review, the presentation of the DHA legal framework on the performance management and development system (PMDS), and the assessment of the performance agreement of Immigration Officers. The non-empirical part of the study served as the building blocks for the empirical component. The empirical component consisted of two surveys. One was administered to Immigration Officers and the other was administered to Control Immigration Officers.

**Findings:** The study proved that there is evidence of the generalisation of the performance assessment of Immigration Officers. There is conclusive evidence that performance assessment is done solely for the sake of adhering to administrative directives. Errors occur when Immigration Officers are appraised. Questions arise as to whether the performance assessment of Immigration Officers has a significant evaluative or developmental value.

**Research Implications and limitations:** The process for performance assessment is regulated by the Department of Public Service and Administration (DPSA). The DPSA has made it mandatory for government bodies to emulate the regulatory framework and apply it to their respective entities and DHA has done the same. It has developed a PMDS policy and its implementation guidelines. Despite the emulation, the findings left much to be desired. The root of the problem is the absence of knowledge of the regulatory framework for the PMDS and clear-cut roles and duties.

Both Immigration Officers and Control Immigration Officers need to be taught why government institutions are assessing performance and what the shortcomings are in failing to do it or doing it incorrectly.

The roles of an assessor (Control Immigration Officer) and the subordinate (Immigration Officer) must be spelt out in their performance agreements and the mechanisms of failing to or incorrectly executing such duties must also be clearly spelt out. The findings do not represent a generalisation of performance management in the DHA; they specifically apply to the operational component of Immigration Management Services (IMS) at O R Tambo International Airport.

**Originality and value:** This research is a first of its kind. It may be replicated in other units of the DHA. This will enable the DHA to manage performance in a better fashion and have employees who are service-orientated, developed and motivated. The utilisation of both human and nonhuman resources will always be effective, economic and efficient if the workforce and its output are better managed.

**Key words:** Performance management, performance appraisal, performance assessment, performance agreement, Immigration Officer, Control Immigration Officer, human and nonhuman resources, performance management and development system (PMDS), the Department of Home Affairs (DHA), Immigration Management Services (IMS)

**Study Type:** Research study

## Opsomming

**Doel:** Die studie het vier doelwitte gehad. Ten eerste is gepoog om vas te stel of veralgemening in die prestasiebeoordeling van Immigrasiebeamptes van die Departement van Binnelandse Sake (*DHA*) wat by die OR Tambo Internasionale Lughawe gestasioneer is, voorkom. Tweedens is gepoog om te bepaal of die Immigrasiebeamptes uitsluitlik beoordeel word om aan administratiewe voorskrifte te voldoen. Derdens was dit nodig om te bepaal of foute voorkom wanneer Immigrasiebeamptes beoordeel word. Laastens, is gepoog om te bepaal of die beoordelingsproses enige waardebepalende en ontwikkelingswaarde behels.

**Benadering:** 'n Empiriese sowel as 'n nie-empiriese benadering is vir die studie gebruik. Die nie-empiriese komponent het 'n literatuuroorsig; die aanbieding van die Departement van Binnelandse Sake se regsraamwerk ten opsigte van die prestasiebestuur- en ontwikkelingstelsel (PBOS); en die evaluering van die prestasie-ooreenkoms van Immigrasiebeamptes behels. Die empiriese komponent het van twee opnames gebruik gemaak. Een opname was op Immigrasiebeamptes gerig en die ander het Beherende Immigrasiebeamptes betrek.

**Bevindings:** Die studie het bewys van veralgemening van die prestasiebeoordeling van Immigrasiebeamptes gevind. Daar was ook afdoende bewyse dat Immigrasiebeamptes uitsluitlik beoordeel word om aan administratiewe voorskrifte te voldoen. Verder kom foute voor wanneer Immigrasiebeamptes beoordeel word en dit word bevraagteken of die prestasiebeoordeling van Immigrasiebeamptes enige betekenisvolle waardebepalende of ontwikkelingswaarde inhou.

**Implikasies en Beperkings van die navorsing:** Die prestasiebeoordelingsproses word deur die Departement van Openbare Dienste en Administrasie (*DPSA*) gereguleer. Hierdie Departement het dit vir regeringsliggame verpligtend gemaak om die regulerende raamwerk na te volg en binne hul onderskeie entiteite toe te pas en die Departement van Binnelandse Sake het dieselfde gedoen: 'n Beleid en riglyne vir die implementering daarvan is ontwikkel. Nieteenstaande die navolging van die voorbeeld, toon die bevindings dat dit veel te wense oorlaat. Die probleem lê in wese by 'n gebrek aan kennis van die regulerende raamwerk vir die beleid, en duidelik omskrewe rolle en pligte.

Immigrasiebeamptes sowel as Beherende Immigrasiebeamptes moet geleer word wat regeringsinstellings met die beoordeling van prestasie ten doel stel en wat te kort skiet wanneer daar versuim word om dit te doen of dit verkeerd gedoen word.

Die rolle van 'n beoordelaar (Beherende Immigrasiebeampte) en 'n ondergeskikte persoon (Immigrasiebeampte) moet duidelik in hul prestasieooreenkomste omskryf word en die meganismes wat volg wanneer pligte versuim word of nie korrek nagekom word nie, moet ook duidelik aangebied word. Die bevindings verteenwoordig nie veralgemening van prestasiebestuur in die Departement van Binnelandse Sake nie; dit is spesifiek van toepassing op die operasionele komponent van Immigrasiebestuursdienste by die O R Tambo Internasionale Lughawe.

**Oorspronklikheid en Waarde:** Hierdie tesis verteenwoordig die eerste navorsingsprojek van hierdie aard. Dit sou in ander eenhede van die Departement van Binnelandse Sake herhaal kon word om die Departement in staat te stel om prestasie beter te beheer en werknemers wat op op dienslewering ingestel en gemotiveerd is, te ontwikkel. Die gebruik van menslike sowel as ander hulpbronne sal altyd effektief, ekonomies en doeltreffend wees wanneer werkkragte en hul opbrengs beter bestuur word.

**Sleutelwoorde:** Prestasiebestuur, prestasiebeoordeling, prestasiewaardering, prestasieooreenkoms, Immigrasiebeampte, Beherende Immigrasiebeampte, menslike en ander hulpbronne, Prestasiebestuur- en ontwikkelingstelsel (*PMDS*), die Departement van Binnelandse Sake (*DHA*), Immigrasiebestuursdienste (*IMS*)

**Soort Studie:** Navorsingstudie

## Acknowledgements

I would like to thank the Lord of Mount Zion, Modimo wa Thaba ya Sione, for love, guidance, wisdom and protection. He has been my Anchor from childhood up to this day. A special appreciation goes to my family, ndyangu waka Nkuna, tiNyarhi, VaMavutane, Va vuta va yi vonile, Va voni ku xonga ka yona.

Numerous persons dedicated their time, energy and effort for this mile stone to be reached. These people include Mashudu Drake ‘Dove G’ Madavhu, Sylvia Nkuna, Zonke Somdaka, Nontembeko Maxwele, Bangwalang Chiloane, Basetsana Mmnusi, Ntakuseni ‘Vhafuwi’ Walter Lambani, Malose Ledwaba, Moses Nkhoma, Motlatsi Madisa, Canesia Munyai, Heinrich De Vos, Pulane Innocentia Kethloilwe, Daniel Nkuna, Misharck Nkuna, Isabela Linky Nkuna and Hester Honey. I am grateful for all they have done towards the realisation of this mini thesis.

Special appreciation goes to all my administrative, academic, professional and personal friends. I would not have reached this milestone without the presence of my study leader, Mr Zwelinzima Ndevu. His commitment, honesty and honour towards timelines has led to the realisation of this milestone.

Thank you to my beautiful and wonderful wife, Noluthando Penelope “Nono” Nkosi, through every step of this project she has been with me and motivating me to go forward. She is the rock of my life, ndzalama yanga. To the former Director of IMS, O R Tambo International Airport, Mr Siphiwe Clement Maphumulo, and the current Director Tariq Patric Mellet and their management team and IMS officials – thank you for being my academic partners and thank you for allowing me such a great space to grow and become a better person. Your touch in my life is eternal.

## **Dedications**

I dedicate this degree to the following persons who have passed on: my father Johannes Gezane Mashaba, Boikie Maringa, Fanyane Nkuna, Argentinah Musima Nkuna, Joseph Yingwane Nkuna, Sipho Pasius Chisa, Palesa Nnini Jewi Lekale, and Muofhe Munyai. I further dedicate it to the following living anchors: my mothers, Julia Raisibe ‘Ntombiendala’ Nkuna, ‘Vakokwane’ Shalate Lena Nkuna, Salome, Nurse, Merriam and Kedibone Nkuna; my siblings and their children, Sylvia Monkie Fanisa, Shalate ‘Sophy’ Gloria, Lena, Linky Isabella, Maria Makhaukane, Daniel, Salane Mishark, Busisiwe ‘Nkateko’ Margareth, Ntsako Jones, Josiah ‘Khongelane’ Nyiko, Okgethegile ‘Boy Boy’ Johannes , Tsakane and Julia ‘Rosa’ Nontsikelelo Nkuna; and Penelope and Philasande Nkosi.

To God be the glory for ever and ever.



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## CHAPTER 1

### *Introduction to the study on the performance management for Immigration Officers stationed at O R Tambo International Airport*

#### **1.1 Introduction**

There are multiple bodies and organisations in the world. All have various reasons for being established. They often provide goods and/or services which people need. The provision of such goods or services is viewed as their goal or reason for existence. In the realisation of such goals they use both human and nonhuman resources.

The use of human resources needs to be managed. One way of managing human resources is to have a performance appraisal system. The introduction and development of such a system is backed by the following authors: Bento, White and Zacur (2012: 3196); Mayer and Davis (1999: 125); Binza (2011: 15) and Latham and Wexley (1994: 3). The performance management system essentially determines what must be achieved by the human capital, how it will be achieved, what standards are set to determine whether aims are met or not, what must be done with non-adherence to set standards, what must be done in the instance that standards are met and any other surrounding issue in relation to performance management (Goel, 2008: 21; DHA, 2009a: 3).

The Department of Public Service Administration (DPSA) and the Public Service Regulations have made it mandatory that all government departments must have a performance management and development system (PMDS) to manage the performance of their employees (DPSA, 1997: 15; Van der Walddt, 2004: 247). To compel state institutions to appraise their employees is in line with New Public Management, commonly abbreviated as NPM (Decramer *et al.*, 2012: 687; Mangwendeza, 2001: 13).

NPM is a term used to refer to an era in which the manner in which government moved from merely being seen as administration. As opposed to merely being an administration, issues such as accountability to the tax payers and the economic, efficient and effective use of state resources became integral in public management.



According to NPM it is essential to know whether or not employees are delivering what they are employed to deliver (Tuytens & Devos, 2012: 756; Bouskila-Yam & Kluger, 2011: 137). MacNulty (1984:16) and Benade (2009: 8-9) view the purpose of performance appraisal, in the context of NPM, as a means to ascertain that the state gets returns on investment (ROI). The Department of Home Affairs (DHA) has given effect to the mandate, which was handed over by DPSA, of having a PMDS. In this study, the point of focus was employees who work as operational Immigration Officers at Immigration Management Services (IMS), O R Tambo International Airport, based at Kempton Park, South Africa.

This segment of the study aimed to introduce the topic. The next segments of this chapter present the background of the study and address the following matters: research problem and objectives, research design, chapter outline and a conclusion to this chapter.

## **1.2 Background (rationale)**

From a theoretical perspective, a PMDS is aimed at managing performance and enhancing the expertise and productivity of employees (DHA, 2009a: 3; Grobler *et al.*, 2011: 293). Despite this theoretical view, the use of a PMDS achieves different results. In practice, a PMDS is viewed as an instrument used to generalise performance due to the pressure of performing functions which are needed to be seen to be done (Van Der Walddt, 2004: 241; Binza, 2011: 13; Lilley & Hinduja, 2007: 138; Dusterhoff & Cunningham, 2014: 265, Muchinsky, Kriek & Schreuder, 2005: 222; Grobler *et al.*, 2011: 313; Nel, 1997: 271).

According to Fox (2006: 94) and Muchinsky *et al.*, (2005: 226), another challenge in managing performance is the inability of supervisors to find means to address poor performance; they only identify what is wrong and fail to come up with mechanisms to address what is wrong. This challenge also relates to PMDS.

The above-mentioned challenges are also experienced when Immigration Officers of IMS, O R Tambo International Airport are appraised. The challenges are experienced despite the clear guidelines in the PMDS policy outlining that performance management must be done with the aim of enhancing efficiency, effectiveness and service delivery (DHA, 2009a: 3).

### **1.3 Research problem and objectives**

What has been stated above can serve as evidence that all organisations need to appraise their employees and ascertain that they reward good performance or pay for good performance and address poor performance. Performance appraisal is supposed to be used for the evaluation of the performance of employees and the development of employees in ascertaining that they continue to be productive.

In relation to the above, the question arises whether the performance appraisal of Immigration Officers at IMS, OR Tambo International Airport, generalises performance or not, or whether it is done with the aim of solely adhering to administrative directives or not? The author aimed to determine whether the appraisal of Immigration Officers at IMS, O R Tambo International Airport, suffers from common errors, which are elaborated in chapter 3 in heading 3.7, are experienced when employees are appraised and to determine if the performance appraisal process is used to evaluate the performance of Immigration Officers and develop the skills and abilities of Immigration Officers. The two roles, the evaluative and the developmental role, are elaborated on further in the chapter dealing with the literature review.

The objectives of the research were the following:

- To give a theoretical background concerning matters surrounding performance appraisal.
- To analyse the current Immigration Management Services (IMS) performance agreement of Immigration Officers at IMS, O R Tambo International Airport. The author planned to determine whether the performance agreement of Immigration Officers is in line with PMDS policy and the guidelines of the Department of Home Affairs.
- To make recommendation for the improvement of the current performance appraisal. This was to be done if shortcomings were identified in the appraisal of Immigration Officers.

## 1.4 Research design

According to Welman, Kruger and Mitchell (2012: 2), the choice of methodology in research is pre-empted by the problem to be solved. It is essential for an explanation to be given as to why a particular methodology is chosen (Welman *et al.*, 2012: 2).

In addressing the current challenge of generalising and adhering to the administrative directive when appraising Immigration Officers, determining if errors occur when Immigration Officers are appraised and determining if the appraisal of Immigration officers has any administrative and or evaluative value, a combination of an empirical and a non-empirical study was used. The non-empirical component was in the form of a literature review. There is a need for a non-empirical view, this assists in having a theoretical breakdown of performance appraisal and serves as a basis for the construction of the empirical component.

An empirical component is needed because the non-empirical component is non-environment specific. To address specific challenges, a specific tool is needed. The tool to address the identified challenges was a survey. It was tailor-made for the study.

The data collected to address the challenge was primary data. The nature of the data was textual, but the data gathered from the research instrument was converted to numeric data in the data analysis. The degree of control was low, due to the fact that the study did not take the form of an experiment. It was based on literature and the views of Immigration Officers and their supervisors (Control Immigration Officers) at IMS, O R Tambo International Airport.

A survey was used in the study. It assisted in exploring issues of performance appraisal as viewed by Immigration Officers and their supervisors. It also assisted in filling in areas which the literature was unable to link to a particular environment.

## **1.5 Chapter outline**

This study consists of six chapters. Chapter 1, which includes this part, has served to introduce the topic of performance management for immigration officers. The rationale for the study has been given and the research problem was identified and articulated. Chapter 2 presents a case study. In the case study Immigration Management Services (IMS) will be introduced as a component of the Department of Home Affairs (DHA). In Chapter 3 the author will present a review of literature on performance appraisal.

In Chapter 4 the author analyses the current Immigration Officers' performance agreement. The appraisal process is greatly affected by the conclusion of a performance agreement, therefore vital things like consensus are considered. Prior to this, the author elaborates on performance management prescripts in the DHA and some legislative and regulatory framework which plays a role in the performance appraisal of public servants.

In Chapter 5 issues pertaining to the empirical component of the study are addressed. Matters covered in this chapter include the research design and methodology. The author elaborates on how the design and methodology were chosen. The results of the empirical component of the study are also presented and interpreted. Chapter 6 brings closure to the study and paves a way forward for future performance appraisal and performance management of Immigration Officers stationed at IMS, O R Tambo International.

## **1.6 Conclusion**

In this chapter, the author introduced the management of human resources through PMDS. The author has shown that there are notable challenges when employees are being appraised. The research problem was identified, research objectives were listed, the chosen research design was discussed, and the outline of chapters of the research report was.

## CHAPTER 2

*An overview of Immigration Management Services (IMS) at OR Tambo International Airport, in relation to the structure and function of the Department of Home Affairs (DHA)*

### 2.1 The case study: Introduction to the Department of Home Affairs

The Department of Home Affairs (DHA) has two core branches. They are Civic Services and Immigration Management Services (IMS) (DHA, 2014). Table 2.1 illustrates the difference between services offered by Civic Services and by IMS. At one point or another all South Africans require the services of Civic Services. These encounters may relate to the registration of births, application for identity documents and travel documents, registration of marriages and the registration of deaths (DHA, 2014).

IMS is often encountered by persons travelling between two or more sovereign states. A limited number of non-South African citizens encounter IMS when seeking asylum and when they are being deported or repatriated to their countries of origin.

The mandate of DHA has two priorities. Firstly, the department is viewed as the custodian, protector and verifier of the status of all people in South Africa and those who do not have, but have a claimed status in the Republic of Africa (DHA, 2014). Lastly, the department controls, regulates and facilitates the immigration and emigration of persons through ports of entry (DHA, 2014).

Table 2.1: Services offered by Civic Services and IMS

<b>Civic Services</b>	<b>IMS</b>
Maintain the National Population Register (NPR)	Administer admissions into the country
Manage the birth, marriage and death records	Determine the residency status of foreigners and issuing of permits
Determining and granting citizenship	Custodianship of refugee affairs
Issuing of travel documents and passports	Inspectorate
Issuing identity documents	Policy directives

Adapted from DHA (2014)

## **2.2 An overview of IMS in relation to IMS, O R Tambo International Airport**

The administrative head of DHA is the Director General (DG). He or she has numerous subordinates. A Deputy Director General IMS (DDG: IMS) is entrusted with the deliverance of IMS. In accordance with the organisational structure, the DDG: IMS has six Chief Directors (CDs). One of them is Chief Director Port Control (CD PC). IMS O R Tambo International Airport is a directorate falling under CD PC. Figure 2.1 depicts where the IMS at O R Tambo International Airport falls within the bigger structure of DHA.

## **2.3 Organisational structure and functions of IMS, O R Tambo International Airport**

The head of IMS at O R Tambo International Airport is appointed at the rank of a Director. The organisational structure makes provision for three Deputy Directors. From a process perspective, the Deputy Directors can be named as follows: Deputy Director Operations (DD Ops), Deputy Director Inspectorate (DD Insp) and Deputy Director Administration (DD Admin).

The organisational structure further makes provision for the appointment of 15 Assistant Directors (ASDs), 32 Control Immigration Officers (CIOs), 2 Chief Admin Clerks (CACs) and 297 Immigration Officers (IOs). Despite the nature of the appointment in CIOs and IOs a limited number is used for administrative purposes. Figure 2.2 depicts the organogram of IMS, O R Tambo International Airport.

The following are core duties performed by IMS at O R Tambo International Airport:

- Processing of passengers who either seek admission to the Republic of South Africa or seek clearance for departure
- The refusal of admission to the Republic of South Africa of undesirable and prohibited persons, and other persons who do not meet entry requirements.
- Issuing of administrative penalties to airlines
- Declaring persons who stayed beyond the duration of the authorised temporary residence permits undesirable and issuing them with such notifications

- The arrest and detention of those who violate the Immigration Act, Act 13 of 2012 and any other legislation administered by DHA which may lead to criminal proceedings
- The deportation of illegal foreigners, prohibited persons and undesirable persons
- Collection of revenue emanating from imposed administrative penalties

## **2.4 Conclusion**

In this chapter the author has introduced the DHA, discussed the Department's primary duties in relation to the Civic Services and IMS branches and has distinguished the two branches. The author has shown where IMS at O R Tambo International Airport falls within the DHA structure. A depiction of IMS, O R Tambo International Airport, and its functions were given. At the heart of IMS at O R Tambo International Airport are passengers and airlines flying internationally. IMS, O R Tambo International Airport, is mandated to make decisions regarding admission; authorisation to depart; refusal of admission to the Republic of South Africa; administrative penalties; arrest and detention of illegal foreigners; and deportation on behalf of the Republic of South Africa.

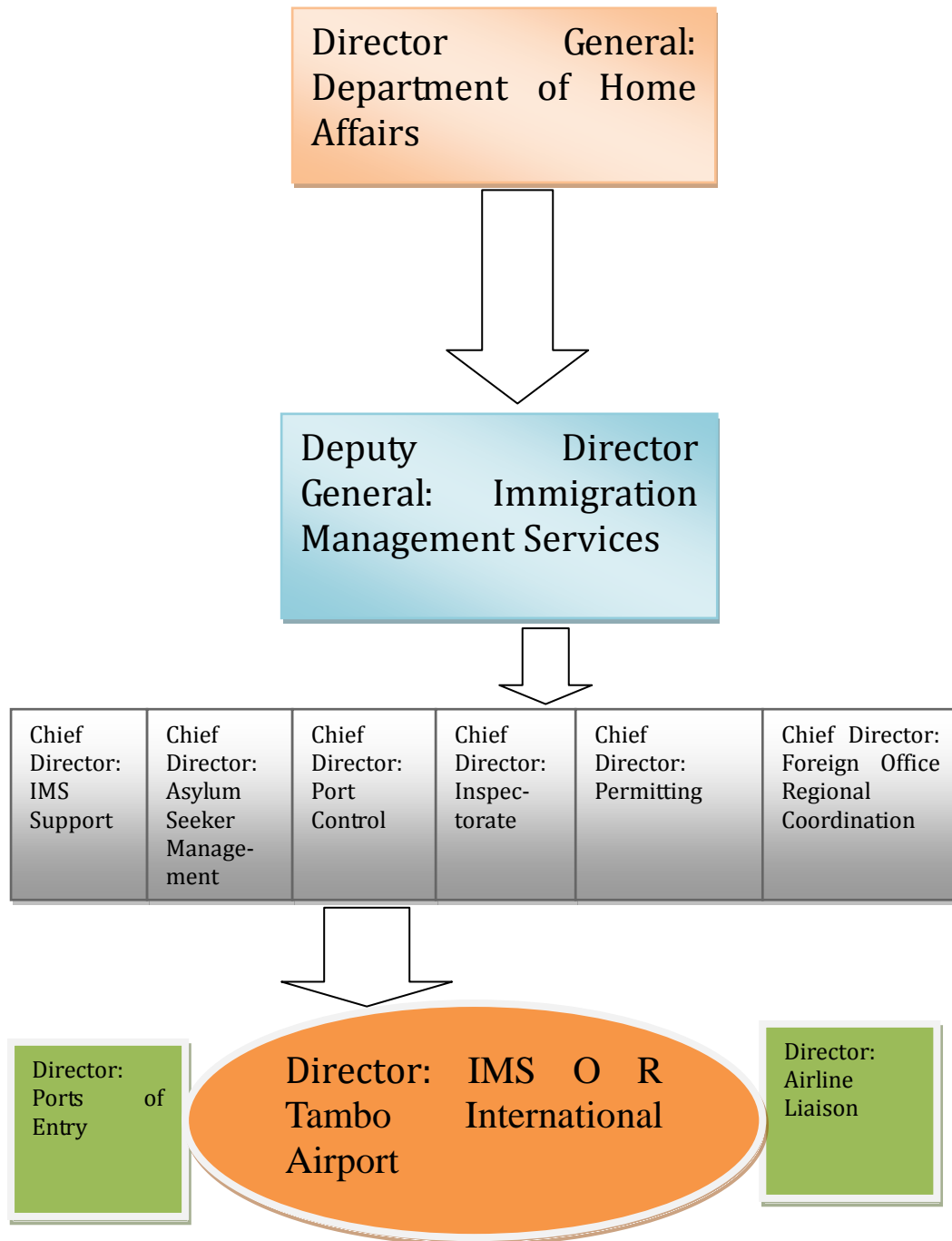


Figure 2.1: IMS structure in relation to IMS, O R Tambo International Airport



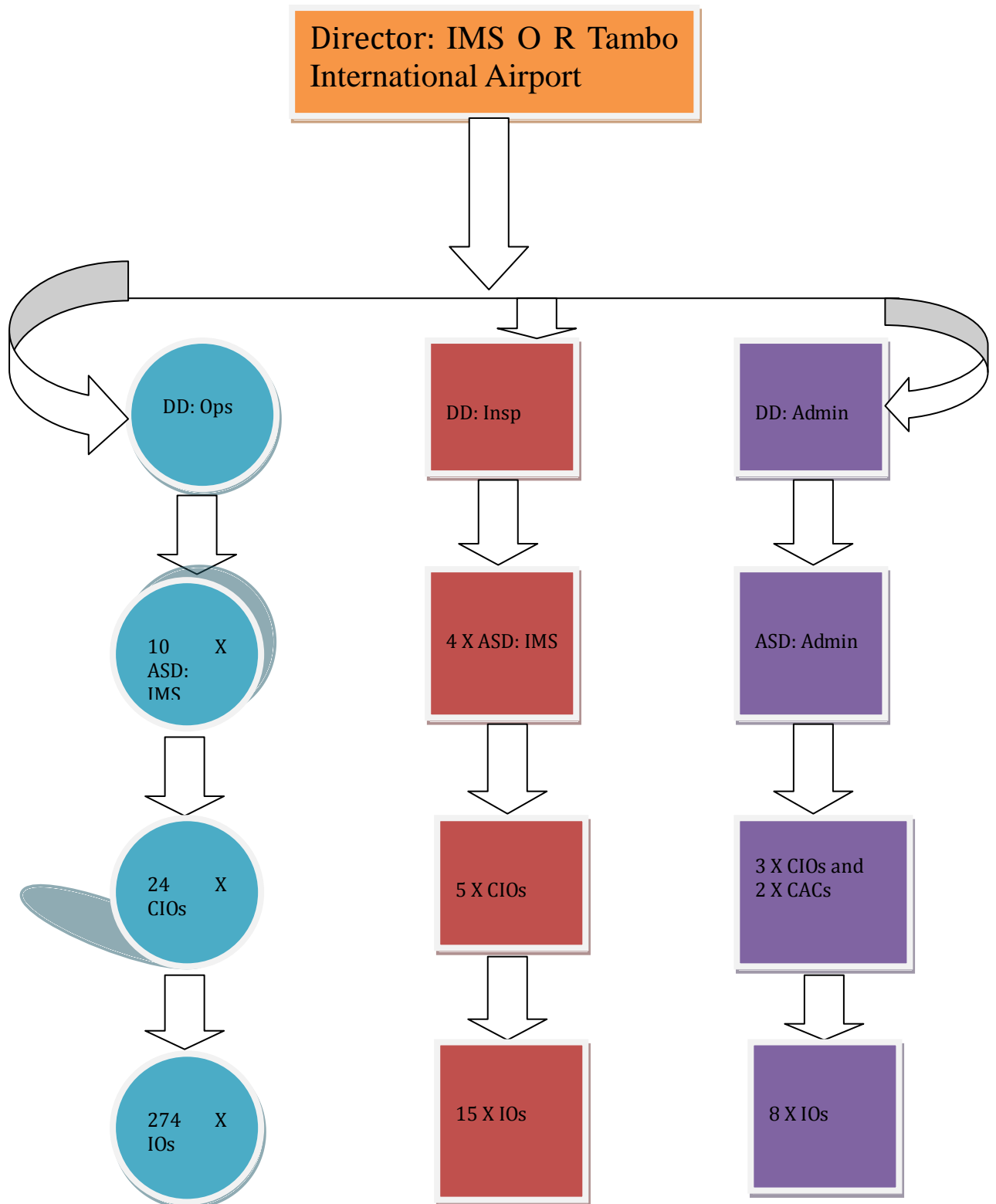


Figure 2.2: Organogram of IMS, O R Tambo International Airport

## CHAPTER 3

### *Literature review on performance appraisal of Immigration Officers stationed at O R Tambo International Airport*

#### **3.1 Introduction**

In this chapter the author will explain what performance management and performance appraisal are and highlight differences between these two related terms. The author will further discuss reasons why employers appraise their employees, criteria used to appraise the performance of employees, methods of appraising employees, errors which can occur in appraising the performance of employees, issues surrounding the relevant person to appraise an employee, how to manage performance and consequences which can follow from not appraising employees and/or appraising them wrongly.

Prior to elaborating on the above-mentioned issues, the employer-employee relationship will be discussed. This relationship is the foundation upon which the appraisal of employees is based. In discussing or conducting a study on performance appraisal, it is of outmost importance that the above-mentioned issues are addressed. As a last component in this chapter the author will provide chapter conclusion.

#### **3.2 The employer-employee relationship**

The relationship between an employer and employee emanates from a contract of employment (Nel, Erasmus & Swanepoel, 1993: 4-5). The employment contract may be a written contract or a verbal contract. Once concluded it places certain rights and obligations on both parties (Rycroft & Jordaan, 1992: 50-84, Finnemore, 2002: 123; Nel *et al.*, 1993: 4-5). The relationship is not always direct in the public sector; the employer is represented by the management and supervisors of the institution.

In the employer and employee relationship, the employee has a duty to do what he is employed to do (Finnemore, 2002: 123; Nel *et al.*, 1993: 4-5). The employer has a duty or obligation to remunerate the employee for the faithful service he or she renders (Du Plessis *et al.*, 2002: 14-15; Finnemore, 2002: 123; Nel *et al.*, 1993: 4-5). In order for this right and obligation to be given effect, there must be an agreement on what is it that the employer anticipates the employee to do; such an agreement is often termed a ‘performance agreement’ (Hartle, 1997: 12; Nel *et al.*, 1993: 15-16; Muchinsky *et al.*, 2005: 210; Nel, Erasmus & Swanepoel, 1997: 6; Grobler *et al.*, 2011: 293).

It is essential that an employer is positioned to tell whether human resources are delivering what they are supposed to deliver or are failing to do so; this has an impact on the efficient, economic and effective running of an organisation (Moreno, Ortega-Egea & Lloréns-Montes, 2012: 739; Binza, 2011: 1). Coupled to this task is the ability to determine when standards which have been set are not achieved and what should be done with non-achievers (DHA, 2009a: 6).

Often employers award good performance with ‘pay progression’ and/or give financial benefits for performance which is above average, the financial benefit is called a ‘bonus’ (Brown, Hyatt & Benson, 2010: 376; Benade, 2009: 1; Binza, 2011: 17; Erasmus *et al.*, 2006: 274). The common term used to describe the above processes is performance appraisal. An employer has an obligation to appraise an employee and an employee has an obligation to ascertain that he or she is appraised (Binza, 2011: 2).

### **3.3 Distinguishing performance management from performance appraisal**

There is a relationship between performance management and performance appraisal. As a result it is essential to distinguish between the two terms. According to Grobler *et al.*, (2011: 293) and Binza (2011: 10), performance appraisal is part of performance management. Performance management is a far broader term than performance appraisal (Nel *et al.*, 2011: 353; Grobler *et al.*, 2011: 293). Performance management is defined by Grobler *et al.*, (2011: 293) as “[a] process which significantly affects organisational success by having managers and employees work together to set expectations, review results and reward performance”.

Nel *et al.*, (1993: 15) view performance management as the means to get the maximum output from each employee through communication, training and career management. According to Bendix (2001: 444), training becomes part of performance management in instances where an employee fails to meet standards set in the performance agreement.

According to Roos (2009: 10) and Maila (2006: 2), performance management is key in service delivery, as well as ascertaining that the service rendered puts people first (*Batho Pele*). The views of Roos and Maila reaffirm one of the aims set in the PMDS policy of DHA: enhancing service delivery. By managing performance, managers ascertain that there is value for money in the use of resources. This view is outlined in the PMDS policy of DHA as the enhancement of efficiency and effectiveness. The management of employees' performance ultimately leads to an economic, efficient and effective use of resources (Thantsa, 2013: 1; Benade, 2009: 1; Heslin & Walle, 2011: 1694; DPSA, 1997: 15; Maila, 2006: 2; Roos, 2009: 10).

Hellriegel *et al.*, (2006: 247) define performance appraisal as “the process of systematically evaluating each employee’s job related strengths, development needs, and progress towards achieving goals, and then determining ways to improve the employee’s job performance”. Fox (2006: 91); Grobler *et al.*, (2011: 293); Nel *et al.*, (2012: 377); Spence and Keeping (2011: 85); Nikpeyma *et al.*, (2014: 15) and Bendix (2001: 303) view it as a means of determining whether an employee’s performance meets agreed standards or does not (rating) and informing him or her of the outcome (give him or her the necessary feedback regarding the job he or she is doing). According to Benade (2009: 30), Kuvvas (2011: 124-125) and Kirkpatrick (2006: 6), giving constant feedback to employees greatly improves their performance and the willingness to accept the appraisal results.

Swanepoel, Erasmus and Schenk (2008: 369) define performance appraisal as “a formal and systematic process by means of which the job-relevant strengths and weaknesses of employees are identified, observed, measured, recorded and developed”. Dusterhoff and Cunningham (2014: 265) describe performance appraisal as a tool used by an employer and an employee to “...define, communicate, and review expectations, goals and progress in achieving strategic objectives”. In this study performance appraisal will be viewed as the continuous evaluation of performance of Immigration Officers and the development of their abilities and competencies, and giving them constant feedback on the two processes

(evaluation and development).

Spangenberg and Theron (2000: 35) have offered a comparison between performance appraisal and performance management on the basis of ten characteristics. Their comparison appears below in Table 3.1. In comparing performance management to performance appraisal, in line with Grobler *et al.*, (2011: 293-294) the following can be said:

- Performance management links the performance to the organisational goal, while performance appraisal tracks whether targets are met; this view is also shared by Binza (2011: 11). Nel *et al.* (2011: 353) views performance management as a long-term item and performance appraisal as a short-term item.
- Performance management links both the manager and the employee to the organisation. This view is also shared by Benade (2009: 8). Performance appraisal is about the employee and his performance in the organisation.
- Performance management spells out what will be done if an employee is not meeting standards. Performance appraisal answers the question of whether an employee meets the set performance standards or not.

Frequency can be used to distinguish between performance management and performance appraisal. The frequency of appraising employees is not cast in stone. Manoharan, Muralidharan and Deshmukh (2011: 722); Binza (2011: 2); Martin and Bartol (2003: 119) and Spence and Keeping (2011: 85) state that most institutions appraise their employees on an annual basis. It is also possible to appraise employees on a quarterly or half-yearly basis (Spence & Keeping, 2011: 85). Ordinarily, employees on probation and employees who are under performing are assessed quarterly (Martin & Bartol, 2003: 116). In contrast, performance management is a continuous activity and it is occasionally formalised (Spangenberg & Theron, 2000: 35).

Table 3.1: The difference between performance appraisal and performance management

<b>Characteristics</b>	<b>Performance Appraisal</b>	<b>Performance Management</b>
<b>System</b>	Usually tailor-made	Tailor-made
<b>Application</b>	Applied to all staff	Applied to all staff
<b>Type of objectives</b>	Individual objectives may be made	Emphasis on integrating corporate, team and individual objectives
<b>Performance measures</b>	Mostly qualitative	Competence requirements often included, as well as qualified measures
<b>Frequency</b>	Annual appraisal	Continuous review with one or more formal reviews
<b>Rating system</b>	Top-down system, with rating	Joint process, rating less common
<b>Link to reward</b>	Often linked to pay	May not be linked to pay directly
<b>Adaptability</b>	Monolithic system	Flexible process
<b>Paper work</b>	Complex paper work	Documentation often minimised
<b>Ownership</b>	Owned by HR department	Owned by line management

Adapted from Spangenberg and Theron (2000: 35)

### 3.4 Why do organisations conduct performance appraisal for their employees?

Organisations do appraisals for employees. In appraising employees, different objectives may be achieved. It is essential to know what can be achieved by appraising employees. The general consensus in the literature is that performance appraisal is used to evaluate the performance of employees and develop their competencies. However, Herholdt (2007: 7) and Brown *et al.* (2010: 375-376) hold a slightly different view.

According to Thantsa (2013: 24), Herholdt (2007: 7) and Brown *et al.* (2010: 375-376) assert that organisations appraise employees so that performance and productivity may be enhanced and that organisational goals may be attained. As a result, it can be inferred that what the author will discuss in the following paragraphs are a means to an end, i.e. ways of ascertaining that performance and productivity are enhanced.

In explaining the reasons for appraising employees, Manoharan *et al.* (2011: 723); Chen, Wu and Leung (2011: 89); Binza (2011: 1); Boswell and Boudreau (2002: 391); Grobler *et al.* (2011: 297); the DHA (2009a: 3); and Nel *et al.* (2012: 377) divide them into two: evaluative purposes and developmental purposes. Mulvaney, McKinney and Grodsky (2012: 505) and Spence and Keeping (2011: 85) view the evaluative purpose as an administrative purpose. Binza (2011: 17) and Manoharan *et al.* (2011: 722) view communication as one of the outcomes which can be achieved by the use of performance appraisal in any organisation. Krause (2004: 15) and Swanepoel (1998: 403) recognise organisational development as one of the reasons organisations do performance appraisal.

Mangwendeza (2001: 14) does not divide the use. Mangwendeza (2001: 14) states that performance appraisal is an essential tool which can be used for planning, monitoring and reviewing the performance of employees. Lilley and Hinduja (2007: 139) recognise the above-mentioned grounds for appraising employees. However, they opt to divide them into the following two:

- Employee control. If the performance appraisal of an employee is done for purposes of control it will affect the rewards given to him or her and determine any form of punishment. This purpose limits the amount of mistakes an employee would make at work.
- Employee development. If the performance appraisal of an employee is done with the purpose of developing him or her, the employer will give him or her feedback on what he or she did well and where shortcomings were witnessed. Such shortcomings will then be addressed in the form of on-the-job training, coaching and mentoring, and sending an employee to external service providers who can provide training that addresses the identified shortcomings. This view is also supported by Moreno *et al.* (2012: 739).

Evaluative purposes are retroactive in nature; they are concerned about how a particular employee performed in a previous term and they influence administrative events, as outlined below, relating to the employee (Cleveland, Murphy & Williams, 1989: 130; Grobler *et al.*, 2011: 297; Bendix, 2001: 304). Lilley and Hinduja (2007: 139) view the evaluative purpose as a control purpose.

From such evaluations, the employer can increase employees' compensation; give them bonuses or a general pay increase; place employees (transfer is also a part of placement); promote employees; invent retention guidelines; and/or discharge them (Krause, 2004: 14; Binza, 2011: 15; Smither, 1998: 50; Cleveland *et al.*, 1989: 130; Mulvaney *et al.*, 2012: 505; Goel, 2008: 21; Nel, 1997: 270; Bendix, 2001: 304; Muchinsky *et al.*, 2005: 213; Grobler *et al.*, 2011: 297-298).

Nel *et al.*, (2012: 377) and Mulvaney *et al.*, (2012: 506) state that the appraisal of employees can also tell if the design of a particular job is faulty. Swanepoel *et al.*, (2008:370) view this as an organisational development role which can emanate from appraising employees. A link between recruitment and performance can be inferred on the basis of using performance appraisal as an evaluative tool (Mishra & Roch, 2013: 325; Bento *et al.*, 2012: 3196; Krause, 2004: 14; Martin & Bartol, 2003: 116; Mangwendeza, 2001: 13; Grobler *et al.*, 2011: 293; Bendix, 2001: 303).

When performance appraisal is used as a developmental tool it is aimed at looking at which skills the employee needs and ascertaining that the employee continues to function in a motivated mode (Chen *et al.*, 2011: 90; Binza, 2011: 10; Dupee, Ernst & Caslin, 2011: 12; Martin & Bartol, 2003: 116; Mulvaney *et al.*, 2012: 505; Goel, 2008: 21; Boswell & Boudreau, 2002: 392; Grobler *et al.*, 2011: 293). According to Binza (2011: 15), the development programmes chosen for each employee must advance the organisational goals. As a developmental tool, performance appraisal is used to inform the employee how he or she has performed and what is expected of him or her in the next financial year, and if they will be required to undergo any training and development in the future (Krause, 2004: 14-15; Smither, 1998: 50; Nikpeyma *et al.*, 2014: 15; Muchinsky *et al.*, 2005: 213; Nel, 1997: 270; Grobler *et al.*, 2011: 297-298).



The use of performance appraisal as a communication instrument is recognised by Krause (2004: 15); Binza (2011: 17); Murphy and Cleveland (1995: 91); and Moon (1997:9). According to Manoharan *et al.*, (2011: 722); Binza (2011: 17) and Zheng, Zhang and Li (2012: 732), the communication is between a supervisor (Control Immigration Officer) and a subordinate (Immigration Officer). According to Binza (2011: 17), Murphy and Cleveland (1995: 91) and Moon (1997:9) the communication follows the following process:

- The performance agreement is concluded. During this stage the Control Immigration Officer will explain to the Immigration Officer what is the goal, what are the objectives and what are the targets (key result areas, abbreviated as KRAs and generic assessment factors, abbreviated as GAFs). After this, they will sign the performance agreement.
- An appraisal interview is held. During this stage an Immigration Officer will give his or her rating on the job he or she has done ('self assessment'), he or she will tell what has he or she has achieved, what constraints he or she has experienced, what his or her strengths and weaknesses are; and what he/she intends to do about the weaknesses. The Control Immigration Officer will then rate the Immigration Officer and make comments on the achievement of KRAs and GAFS

Krause (2004: 15) and Swanepoel (1998: 403) recognise performance appraisal as a tool to develop an organisation. To some extent this idea is linked to performance appraisal as a communication tool, as outlined above. As a development tool it assists organisations with the following: determining desired performance levels; determining training needs; development of affirmative action programmes; and developing multi skill programmes (Krause, 2004: 15; Swanepoel, 1998: 403).

### 3.5 Criteria used in appraising employees

The word criteria relates to standards. In relation to performance appraisal numerous standards or a combination of standards can be used to appraise employees. Krause (2004: 13-14); Schuler and Jackson (1996: 350-351); and Grobler *et al.* (2011: 297) state that three criteria are used to appraise employees. They are trait-based criteria, behaviour-based criteria and outcome-based (results based) criteria (Krause, 2004: 13; Schuler & Jackson, 1996: 350-351; Grobler *et al.*, 2011: 297).

Lilley and Hinduja (2007: 139) recognise trait-based and behaviour-based approaches as criteria for appraising employees; they do not take into cognisance an outcome-based criterion as a standard for measuring the performance of employees. A trait-based criterion for appraising employees focuses on each employee's individual features, such as dependability, creativity, loyalty, communication skills, *et cetera* (Grobler *et al.*, 2011: 297; Krause, 2004: 13; Schuler & Jackson, 1996: 350-351).

A trait-based criterion has no direct relation to what an employee has achieved on his or her job; the primary focus is on who he or she is (Krause, 2004: 13; Grobler *et al.*, 2011: 297; Fox, 2006: 98). Due to its inability to access what the job holder has achieved, Muchinsky *et al.*, (2005: 222) and Fox (2006: 98) view it as a subjective way to assess employee's job performance. In the context of an Immigration Officer, a trait-based criterion relates to his or her loyalty to the country; his or her dependability on achieving the mandate of IMS, O R Tambo International Airport; the ability to communicate effectively with clients and co-workers, *et cetera*. It is the author's opinion that all these traits are essential as means to achieve the mandate of IMS, O R Tambo International Airport.

Behaviour-based criteria have a direct relationship to what an employee is expected to deliver (Fox, 2006: 98; Grobler *et al.*, 2011: 297). In elaborating on it Grobler *et al.* (2011: 297); Krause (2004: 13) and Schuler and Jackson (1996: 350-351) compare a trait to behaviour. They state that instead of giving a high mark for appraisal on leadership (trait), a higher mark must be given on team work. In the context of an Immigration Officer, a behaviour-based criterion would relate to the least amount of cases finalised without consulting a supervisor (trait) versus the ability to unite a team to deliver to the public (team work).

An outcome-based criterion is concerned with the final product or how many products an employee can produce (Grobler *et al.*, 2011: 297; Fox, 2006: 99 and Muchinsky *et al.*, 2005: 219). If it is used as the sole tool for appraising employees it may neglect other factors relating to the achieved job (Grobler *et al.*, 2011: 297; Krause, 2004: 13-14; Schuler & Jackson, 1996: 350-351). In the context of an Immigration Officer, an outcome-based criterion would entail processing as many passengers as he or she possibly can in the absence of personal interaction with a client.

According to the DHA (2009a: 6) the performance appraisal of DHA consists of Key Result Areas (KRAs) and the Generic Assessment Factors (GAFs) for employees who are on salary levels three to seven. Eighty per cent of the assessment is determined by KRAs and the other 20 per cent is determined by GAFs. Immigration Officers fall within the stated salary level range, their work is graded on salary level six. Their KRAs are:

- Ensure that all travellers seeking admission to, or departure from, the Republic of South Africa comply with the regulatory prescripts included in the Immigration Act (Act 13 of 2002), Immigration Regulations, Standard Working Procedures (SOPs) and Directives. This KRA contributes 20 per cent towards the 80 per cent allocated to KRAs.
- Ensure that persons failing the immigration evaluation are referred to the supervisor to determine refusal, entry or arrest. This KRA contributes 20 per cent towards the 80 per cent allocated to KRAs.
- Ensure that passports of persons who are allowed entry or departure are correctly endorsed with the relevant stamp. This KRA contributes 20 per cent towards the 80 per cent allocated to KRAs.
- Act professionally and with courtesy when dealing with clients. This KRA contributes 20 per cent towards the 80 per cent allocated to KRAs.
- Safeguard assets, face value documents and operational information. This KRA contributes 20 per cent towards the 80 per cent allocated to KRAs.

The performance appraisal of Immigration Officers serving at the operation component of IMS, O R Tambo Airport, makes provision for six GAFs. Their GAFs include:

- Job knowledge, which carries a weight of 15 per cent towards the 20 per cent allocated to GAFs.
- Service delivery innovation, which carries a weight of 15 per cent towards the 20 per cent allocated to GAFs.
- Problem solving and analysis, which carries a weight of 20 per cent towards the 20 per cent allocated to GAFs.
- People management and empowerment, which carries a weight of 15 per cent towards the 20 per cent allocated to GAFs.
- Client orientation and customer focus, which carries a weight of 20 per cent towards the 20 per cent allocated to GAFs.
- Communication, which carries a weight of 15 per cent towards the 20 per cent allocated to GAFs.

The criterion used to appraise IMS OR Tambo International Airport Immigration Officers cannot be said to fall exclusively within any of the three mentioned criteria. A hybrid appraisal system can be said to be in existence because of the presence of communication skills (a trait-based criterion), referral of cases to a supervisor (a behaviour-based criterion) and the facilitation of movement of people into the country or outside the country (an outcome-based criterion).

### **3.6 Methods of appraising employees**

The preceding section related to standards used to appraise employees. To give effect to the stated standards it is essential to have mechanisms to achieve them. Grobler *et al.*, (2011: 302-312) grouped such mechanisms in line with the following themes: work standards, category rating, comparative method, narrative method, behavioural or objective method, and a combination method.

Work standards are dominantly used in the clerical, manufacturing or production sectors; they are not ordinarily used as the sole basis for measuring performance (Grobler *et al.*, 2011: 302; Carrell *et al.*, 1998: 291; Krause, 2004: 20). They focus on the average units that a person must be able to produce in a stipulated period, for instance 10 units per hour (Krause, 2004: 20; Grobler *et al.*, 2011: 302).

Grobler *et al.* (2011: 303-304) classify category rating methods into the following: graphic rating scale, nongraphic rating scale and checklist of critical incidents. Muchinsky *et al.*, (2005: 222) view the category rating method as a graphic rating scale; their view is narrower when compared to that of Grobler *et al.* (2011).

Muchinsky *et al.* (2005: 222-223) and Grobler *et al.*, (2011: 307) view the graphic scale as a good tool to assess traits and outcomes. The graphic scale can be used to measure traits like dependability, practical judgement, cooperation, friendliness, quality and quantity of work, attendance, honesty and job knowledge (Krause, 2004: 21; Binza, 2011: 25; Muchinsky *et al.*, 2005: 222-223; Grobler *et al.*, 2011: 307). A scale of 1 to 7 points can be used (Muchinsky *et al.*, 2005: 222). However, Grobler *et al.* (2011: 303) prefer a Likert-type scale of either 1-3 or 1-5.

Krause (2004: 21-22), Binza (2011: 26), Swanepoel *et al.* (2008:385) and Grobler *et al.* (2011: 303) state that nongraphic rating is preferred as a means to counter the shortfall identified in graphic rating, due to the fact that each value of the rating must be explained. Nongraphic rating serves as a fair call in relation to monetary benefits and progression for employees, either for moving to a higher position or moving in an allowed salary scale within the same job title (Swanepoel *et al.*, 2008:385 and Grobler *et al.*, 2011: 303).

A checklist of critical incidents as a method for appraising employees by means of which an employee's tasks are written down and a supervisor constantly monitors how he or she performs when the time comes for a specific task to be done relates to the noted critical tasks (Binza, 2011: 25; Grobler *et al.*, 2011: 303-304; Swanepoel *et al.*, 2008:384). According to Krause (2004: 24), critical incidents can be used to determine whether an employee (Immigration Officer) is effective or ineffective regarding the identified tasks.

If an employee's performance is extraordinary, he or she will be rated high in respect of all performance aspects related to the checklist (Krause, 2004: 13). Grobler *et al.* (2011: 304) recommend that a checklist should be ranked 1 to 5, with 1 representing unacceptable performance, 2 showing that an employee needs to improve his or her performance, 3 representing satisfactory performance, 4 representing performance which is above average and 5 representing outstanding performance.

According to Krause (2004: 22-24), Binza (2011: 24-25) and Grobler *et al.* (2011: 303-307) the comparative method of appraising employees can be sub-grouped into ranking, forced distribution and paired comparison. Goel (2008: 26) views ranking as ranking straight. Beach (1985: 300) and McCormic and Ilgen (1985: 74) view ranking as alternative ranking.

When ranking of employees is done, employees are assigned in terms of performance; whoever works best is ranked number 1 (Krause, 2004: 22; Goel, 2008: 26-27; Grobler *et al.*, 2011: 305; Muchinsky *et al.*, 2005: 224). Holden and Beardwell (2001: 542) view ranking as a means of using a hierarchy in appraising employees and that there must always be a best and a worst performer in the hierarchy.

Binza (2011: 24) calls a forced-field distribution forced-choice distribution. Krause (2004: 23), Goel (2008: 28), Grobler *et al.* (2011: 306) and Muchinsky *et al.* (2005: 224) state that forced distribution uses preset columns such as poor, average and excellent, and the supervisor (Control Immigration Officer) distributes his subordinates (Immigration Officers) in the columns in accordance to the order in which he/she appraised their performance, i.e., poor, below average, average, above average and excellent.

Paired comparison compares each employee to the rest of the team (Krause, 2004: 23-24; Muchinsky *et al.*, 2005: 224; Goel, 2008: 21; Grobler *et al.*, 2011: 303-304). The narrative method of appraising employees can be divided into critical incidents, annual review file or calendar and essay (Goel, 2008: 32-33; Grobler *et al.*, 2011: 303-307).

A calendar is used when employees are assessed on an annual basis (Krause, 2004: 25). A Control Immigration Officer records what each of his or her Immigration Officers does. The entry may be either good or bad (Carrell *et al.*, 1998: 274-275). If no entries are made against a particular individual's name, it means the person's performance was average (Krause, 2004: 13; Grobler *et al.*, 2011: 308).

The essay methods detail the strength and weaknesses of an employee in the execution of his duties (Krause, 2004: 26-27; Grobler *et al.*, 2011: 308; Goel, 2008: 32). The essay can relate both to what the employee has done and to how he/she behaves (Beach, 1980: 215; Grobler *et al.*, 2011: 308; Goel, 2008: 32). However, according to Grobler *et al.* (2011: 308), an essay is not ideal for all environments due to the amount of time and level of detail required from the supervisor (Control Immigration Officer).

The behaviour rating scale (BARS) and management by objectives (MBO) form part of the behavioural method of appraising employees (Grobler *et al.*, 2011: 303-307). Muchinsky *et al.* (2005: 222) divided the behavioural method into critical incidents, the behaviourally anchored rating scale (BARS) and behavioural-observation scale (BOS). The author will not discuss critical incidents due to the fact that it has been addressed above.

BARS consists of critical points of an employee's job; how well he/she does the job determines where in a scale his performance falls (Muchinsky *et al.*, 2005: 225-227; Goel, 2008: 49; Grobler *et al.*, 2011: 308). MBO functions according to a set agenda between the employer and the employee: a supervisor rates an employee on the ability to meet set objectives (Krause, 2004: 27-29, Goel, 2008: 43-48, Grobler *et al.*, 2011: 309-310). BOS is based on critical incidents: a supervisor periodically rates an employee on certain aspects of the job and incidents and then details or notes if they never happen, seldom happen, happen sometimes, generally occur or always occur (Latham & Wexley, 1994: 86; Binza, 2011: 27; Muchinsky *et al.*, 2005: 228).

Regarding a combined method, Grobler *et al.* (2011: 312) and Krause (2004: 29) state that it is now customary to combine different methods of performance appraisal in appraising employees. An essay, for instance, can be used with MBO, and in group settings an employee's effectiveness can be rated from an individual perspective as well as a team perspective (Grobler *et al.*, 2011: 312). Binza (2011: 28) has termed this method of appraising employees the combination method.

The IMS at O R Tambo International Airport uses a combined method of appraisal to appraise its Immigration Officers. It uses a categorical method (graphic) and a behavioural method (BARS). In terms of the graphic representation used by the DHA, performance is assessed on a scale from 1 to 5. A further explanation is given in Table 3.2, below. The department also uses BARS in the sense that critical parts of the job are assessed and the better the employee does his job, the more ticks he gets for a particular KRA or GAF.

Table 3.2: Performance assessment framework

Rating	Category	%
1	Unacceptable performance	69% and below
2	Performance not fully effective	70% - 99%
3	Fully effective (and slightly above expectations)	100% - 114%
4	Performance significantly above expectations	115% - 124%
		125% - 129%
		130% - 140%
		141% - 149%
5	Outstanding performance	150% - 159%
		160% and above

Adapted from DHA, (2009a: 13).



### 3.7 Errors that can occur during the appraisal process

Numerous authors have stated that errors may occur when employees are being appraised. These authors have classified and named the witnessed errors. According to Krause (2004: 37-39), Binza (2011: 3), Nel (1997: 271), Muchinsky *et al.* (2005: 222) and Grobler *et al.* (2011: 312-315), the following errors can occur during the appraisal of employees: rater bias, halo effect, central tendency, leniency, strictness, primary effect and overall rating. Spence and Keeping (2011: 85) recognise leniency as an error, and in their study they add politics and impression management.

Rater bias can occur consciously or unconsciously, the Control Immigration Officer may be intentionally or involuntarily biased (Grobler *et al.*, 2011: 312; Krause, 2004: 37). According to Grobler *et al.* (2011: 312), rater bias “occurs when a rater’s values or prejudice distorts the rating”. Rater bias does not relate to the job performance; it may be triggered by personal characteristics such as age, sex, disability, race, or organisational related characteristics such as seniority and friendship with top managers (Bento *et al.*, 2012: 3206-3209; Maas & Torres-Gonzalez, 2011: 667; Krause, 2004: 37; Grobler *et al.*, 2011: 312; Mangwendeza, 2001: 14).

Binza (2011: 3), Grobler *et al.* (2011: 312), Nel *et al.*, (2005: 318), and Nel (1997: 271) state that a halo effect occurs when an employee (Immigration Officer) is assumed to be effective in all key result areas on the basis that he or she excelled in one area. For instance, a supervisor may view an employee as dependable on the basis that he always arrives on time (Grobler *et al.*, 2011: 312). This is the scenario of a positive halo effect. The opposite form of halo effect exists. Grobler *et al.* (2011: 312) and Krause (2004: 37) call it the “devil’s horns”. It occurs when an employee (Immigration Officer) is appraised wholly on the basis of his/her weaknesses – the supervisor has no regard for any positive input and output an employee has contributed to an organisation when he or she appraises the concerned employee.

The two forms of halo effect are recognised by Latham and Wexley (1994: 138) and they refer to them as first impressions. Kirkpatrick (2006: 50) has expanded on the literature on the halo effect and states that the following forms of halo effect can be experienced in a working environment:

- *Effect of past record.* This is almost related to the recency effect, which is discussed below. If, in the previous performance cycle, Immigration Officer Y was performing above average and he or she is still given the same score on the basis of the previous cycle's performance, it will be said the effect of the past record is occurring.
- *Compatibility.* This relates to personal attributes of the Control Immigration Officer. If he or she is a big fan of soccer and one of the individuals in his or her team is also a soccer follower, he or she may score that individual higher than the individual deserves due to the compatibility. Latham and Wexley (1994: 138) call this kind of halo effect similar-to-me judgement.
- *The one asset person.* A one person asset is a person who has a quality which is not related to what he or she is doing at work. However, due to the general prestige associated with such a quality he or she will be deemed to be a better performer.
- *The blind spot effect.* In elaborating on the blind spot, Binza (2011: 35) uses allocating extra times on breaks. If an Immigration Officer takes extra breaks like the Control Immigration Officer does, the Control Immigration Officer will not be in a position to highlight this fact during the appraisal. The same can be said both for coming late and departing from the place of work before the scheduled time.
- *The high potential effect.* This form of halo occurs when a Control Immigration Officer does not pay attention on what the Immigration Officer is doing. If an Immigration Officer brings proof that he has worked, it is accepted as evidence of performance in the absence of further tests and corroboration.
- *The no complaint bias.* According to Binza (2011: 35), if a Control Immigration Officer does not receive a complaint about a particular Immigration Officer, the Immigration Officer will be assumed to be a good performer with the result that he or she will be rated high during the appraisal.

Grund and Przemeck (2012: 2150) acknowledge that central tendency is an error that can occur during the appraisal process; they named it centrality bias. Latham and Wexley (1994: 138), Nel (1997: 271), Nel *et al.*, (2005: 318), Binza (2011: 3) and Muchinsky *et al.*, (2005: 222) state that central tendency occurs when the rater (Control Immigration Officer) gives everyone (Immigration Officers in his or her subgroup) an average score. The allocated scores can be classified as neither high nor low: the average score is often used as a mechanism to justify non-actual rating of “unfamiliar aspects of performance” (Krause, 2004: 38; Muchinsky *et al.*, 2005: 222; Swanepoel *et al.*, 2008:377).

Muchinsky *et al.* (2005: 221) describe leniency as the actions of supervisors (Control Immigration Officers) unduly over appraising or under appraising their subordinates (Immigration Officers). Muchinsky *et al.* (2005: 221) state that leniency occurs because of the personality or previous experience of the rater (Control Immigration Officer). Leniency can occur in a positive or negative way (Latham & Wexley, 1994: 138; Muchinsky *et al.*, 2005: 221; Swanepoel *et al.*, 2008:377).

Leniency is stated to be occurring negatively if the rater gives lower points than the employee deserves (Muchinsky *et al.*, 2005: 222; Swanepoel *et al.*, 2008:377). Leniency in a positive form leads to supervisors giving their subordinates a higher rating that is neither based on facts nor on evidence (Mishra & Roch, 2013: 326, Catano, Darr & Campbell, 2007: 201, Muchinsky *et al.*, 2005: 222 and Swanepoel *et al.*, 2008:377).

Grund and Przemeck (2012: 2150) also acknowledge that leniency as an error which can occur during the appraisal process, they named it *leniency bias*. Catano *et al.* (2007: 201), Grund and Przemeck (2012: 2150), Binza (2011: 3), Grobler *et al.*, (2011: 303-313) Spence and Keeping (2011: 87) do not differentiate between positive and negative leniency; their form of leniency is what Muchinsky *et al.* (2005) view as positive leniency.

What Muchinsky *et al.* (2005) view as negative leniency, Krause (2004: 38), Grobler *et al.* (2011) and Binza (2011: 3) view as strictness. The author classified strictness as one of the errors which can occur during the appraisal process. Due to the view held by Muchinsky *et al.* (2005) and similar descriptions being given to strictness and negative leniency, the author will not further deliberate on strictness as one of the errors which can occur when employees are being appraised.

According to Binza (2011: 2), Kirkpatrick (2006: 50), Grobler *et al.* (2011: 314) and Swanepoel *et al.* (2008:377), an appraisal error called a *primary effect* or *recency effect* occurs when a supervisor (Control Immigration Officer) takes an employee's (Immigration Officer's) recent performance as an indication of his or her performance throughout the appraisal period. Binza (2011: 2) and Krause (2004: 38-39) attributes this error to appraising employees on an annual or biannual schedule.

*Overall rating* is not present in all appraisal tools. In instances where it is available the supervisor gives an overall opinion as to whether the employee's performance was outstanding, above average, average or below average (Krause, 2004: 39; Grobler *et al.*, 2011: 314-315; Swanepoel *et al.*, 2008:377). *Politics* is described by Spence and Keeping (2011: 87) as an intentional attempt by supervisors (Control Immigration Officers) to enhance or protect their self-interests when conflicting courses of action are possible. The notion of *advancing self-interest* is also recognised by Grund and Przemeck (2012: 2150). *Impression management* is described by Spence and Keeping (2011: 87) as the conscious awarding of ratings which will advance the interests of the supervisor (Control Immigration Officer).

### **3.8 Who should appraise employees?**

In an employer-employee relationship there must be a representative who determines whether set standards are adhered to and are met or not. There are numerous views as to who should perform this representative duty. According to Binza (2011: 2), Lilley and Hinduja (2007: 139), Mulvaney *et al.* (2012: 516- 519), Grobler *et al.* (2011: 315), Nel *et al.* (2005: 318) and Nel (1997: 271), the monitoring and evaluation of organisational performance is a management function, and as a result the management of each entity should appraise its employees.

In support of the above view, Cascio (1995: 290) and Krause (2004: 32-33) state that a supervisor is the ideal person due to his or her ability to link organisational goals to the job done by the subordinate. Alternative ways of appraising employees, with alternative appraisers, exist and they include the following means: peer assessment, self-assessment, customer evaluation, reverse appraisal and team portfolio (Manoharan *et al.*, 2011: 724; Binza, 2011: 22-23; Grobler *et al.*, 2011: 315-319).

Peer assessment occurs when members within the same job description rate each other on pre-agreed standards (Binza, 2011: 22; Latham & Wexley, 1994: 112; Maurer, Raju & Collins, 1998: 693; Grobler *et al.*, 2011: 315; Muchinsky *et al.*, 2005: 233-234). According to Krause (2004: 33), peer review functions best in environments where a supervisor does not have immediate and direct access to what the subordinate is doing. The following environments are ideal for peer review: law enforcement, teaching, outside sales, *et cetera* (Krause, 2004: 13).

Self-assessment occurs when the employee (Immigration Officer) rates himself or herself against set standards. A graph can be used to achieve this purpose (Thurston & McNall, 2010: 201; Beer, 1981: 31; Muchinsky *et al.*, 2005: 233; Grobler *et al.*, 2011: 318). Latham and Wexley (1994: 124), Krause (2004: 34) and Binza (2011: 23) warn that self-assessment as a form of appraisal involves a lot of subjectivity, and as a result subordinates may rate themselves higher than their own performance during the appraisal period in question. Shore and Tashchian (2002: 262) warn of the potential that supervisors (Control Immigration Officers) may serve to rubber-stamp the self-appraisal that subordinates (Immigration Officers) have already done.

Customer or client evaluation is often initiated by the client filling in a customer comment card and it is followed up by questionnaires or telephone conversation (Mulvaney *et al.*, 2012: 505; Grobler *et al.*, 2011: 316). This is generally available for service-orientated employees, such as banking institutions (Krause, 2004: 35).

Reverse appraisal occurs when subordinates (Immigration Officers) are requested to assess their supervisors, Control Immigration Officers (Binza, 2011: 22; Grobler *et al.*, 2011: 318; Latham & Wexley, 1994: 112). Maurer *et al.*, (1998: 693) call reverse rating subordinate performance rating. According to Binza (2011: 22) and Cardy and Dobbins (1994: 159), reverse appraisal is an uncommon form of performance appraisal due to the fact that most organisations use a top-down management approach and they fear that subordinates will act in a manner which amounts to insubordination if such an appraisal method would be used in their institutions.

Team portfolio appraisal is viewed as a 360 degree feedback by Krause (2004: 29) and Dupee *et al.*, (2011: 12). A team consisting of an employee, peers, a subordinate, customers and the supervisor can be constituted for the purpose of appraising a fellow employee (Dupee *et al.*, 2011: 12; Goel, 2008: 37- 40; Mulvaney *et al.*, 2012: 505; Maher, 2011: 396; Muchinsky *et al.*, 2005: 235-237). According to Binza (2011: 27), it is essential that the people who are part of the team are people with whom the person being appraised interacts on a regular basis and that they comprehend what form of performance is anticipated from the employee being appraised. This ideal is preferable, but is not dominant in South Africa (Benade, 2009: 12; Grobler *et al.*, 2011: 319; Swanepoel *et al.*, 2008:388).

The current practice at IMS, O R Tambo International Airport, is that an employee (Immigration Officer) must first rate himself or herself (self-assessment) on the performance appraisal tool with rating ranging from 1 to 5 (the explanations of the ratings are provided in Table 3.2). The supervisor (Control Immigration Officer) has the same burden, following which he or she must reconcile the two. The general view of the supervisor appraising an employee is preceded by a self-assessment.

After the two ratings there is a discussion on the ratings and consensus is sought as to what the final outcome should be. After the reconciliation, both the Immigration Officer and the Control Immigration officer sign the appraisal to the next person in authority, who will sign it off for processing by the office of the Director: Human Resource Planning and Coordination. As a result, the appraisal process of IMS at O R Tambo International Airport can be said to be a three-way process, which is of a hybrid nature.

### 3.9 Managing performance of employees, getting more and addressing poor performance

Performance is essential to any organisation. It therefore is vital for organisations to keep their employees effective, increase their efficiency and address their shortfalls. In managing performance, an organisation can use what Fox (2006:93-95) termed ARCHIEVE. According to Fox (2006:93-95), an organisation must consider the following when it manages the performance of its employees:

- **Ability** (knowledge and skills) – this concept pertains to the skills, knowledge and experience an employee must have to do a particular task. Sometimes all three are a prerequisite to be admitted into a particular job. In other instances what an employee has can be enhanced through formal training, on-the-job training and coaching (Binza, 2011: 16; Latham & Wexley, 1994: 45).
- **Clarity** (understanding and role perception) – this concept entails that an employee needs to know what to do, when to do it and how to do it. The employee must comprehend his or her tasks and accept responsibility for executing them.
- **Help** (organisational support) – in this instance help can manifest itself in the form of budget allocation, equipment and facilities which an employee will need to complete any assigned task successfully. This notion of organisational support is also held by Maila (2006: 2) and Benade (2009: 30).
- **Incentive** (motivation and willingness) – this refers to the willingness to successfully complete a task. This willingness can emanate from an intrinsic or extrinsic incentive. Managers need to know what motivates their subordinates.
- **Evaluation** (coaching and performance feedback) – managers need to give their subordinates feedback on a day-to-day or periodic basis. This assists in detecting poor performance and managing it effectively. The notion of feedback is also supported by Benade (2009: 30).
- **Validity** (valid and legal human resource practice) – this relates to decision making. All decisions taken by management must be legal. They must conform to legislation, decided cases from our courts and internal policies.

- **Environment** (environmental fit) – it relates to factors outside the working environment. External factors can influence an employee's performance. They include competition, policy and regulations, legislation, suppliers, *et cetera*. In instances where poor performance can be attributed to external factors, managers must not penalise or reward their subordinates.

Technology can be used to monitor the performance of employees; this includes but is not limited to the use of computers and camera surveillance, often in the form of close circuit television (Grobler *et al.*, 2011: 319-320; Krause, 2004: 35; Cascio, 1995: 221). IMS Immigration Officers at O R Tambo use the enhanced Movement Control System (eMCS). The eMCS is operated by a user who has a registered and functional user ID. Each Immigration Officer has a unique user ID, which is linked to his or her desired password.

Logging on allows an Immigration Officer to be logged on to the eMCS main frame. The main frame is able to tell when a particular person logged on, when he logged off, for what periods the person was logged on without any transaction, and what transactions had been made by the particular Immigration Officer. This information can be used to determine whether the Immigration Officer is or is not doing what he is supposed to be doing and if the set targets are met, under achieved or over achieved.

According to Fox (2006:93- 95); Thurston and McNall (2010: 201); Chen *et al.* (2011: 87-88); Cascio (1995: 221); Benade (2009: 30); and Blignaut (2009:14), in order for any work force to remain productive, it is essential that its employees remain motivated. Benade (2009: 30) recommends that organisations do the following to maintain and improve productivity:

- They must always communicate openly and transparently with their employees.
- They must view employees as stakeholders.
- They must recruit people who will fit into their organisational culture.
- When appraising employees, the institution must be seen to be fair and consistent and always promoting and rewarding outstanding performance.
- Each employee must know his or her duties and he or she must be given consistent feedback on his or her execution of duties.



- Institutions must be able to give the necessary support for its employees to be part of a family life.
- Have flexible arrangements. It is the author's opinion that a high level of flexibility like working from home is not applicable to Immigration Officers stationed at IMS, O R Tambo International Airport, due to the fact that their services are offered to individual passengers who report in a designated area.
- Granting opportunities for growth and development. Studying at state expense is a notable example in this regard.
- Treat each employee as an individual. This will need managers to recognise the different aspirations that each employee has.
- In arriving at work related solutions, employees must be a part of the discussion and problem solving.

It is desirable for employees to be productive. However, the possibility of unsatisfactory performance remains. The Performance Management and Development Policy Implementation guidelines of DHA address poor performance (DHA, 2009b: 41-43). The guidelines define poor performance as "the failure of an employee to do his or her job at an acceptable level" (DHA, 2009b: 43).

In the context of IMS at O R Tambo International Airport, a Control Immigration Officer must develop a performance improvement plan (PIP). The PIP is used to determine whether there is any improvement in relation to any identified unsatisfactory performance (DHA, 2009b: 43). Figure 3.1 outlines the process a Control Immigration Officer must follow in addressing poor or unsatisfactory performance.

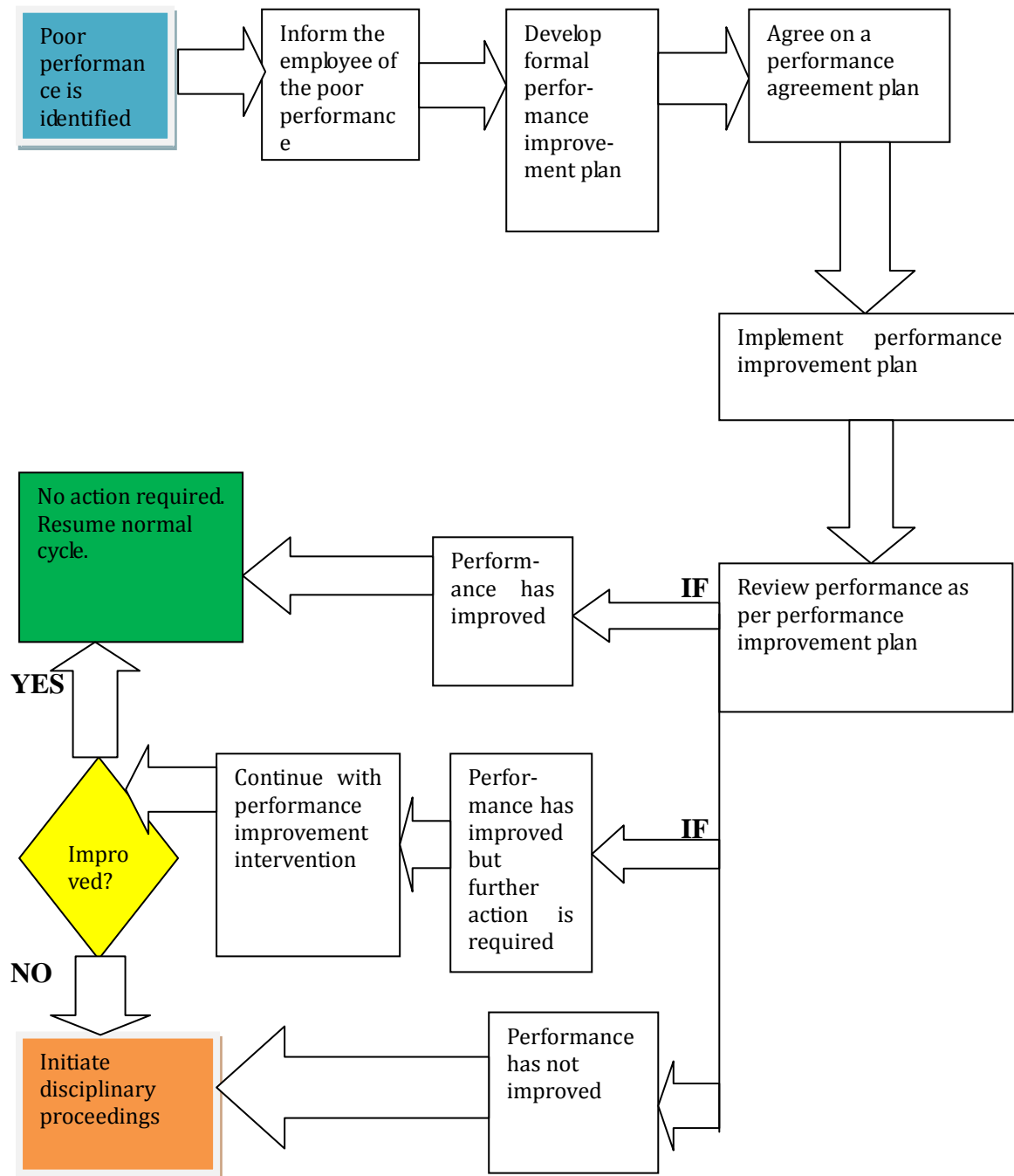


Figure 3.1: The process of managing poor performance in the DHA

Adapted from DHA, 2009b: 42

### 3.10 Legal ramifications of the incorrect use of an appraisal system

In South Africa, there are numerous statutes regulating the work environment and protecting employees against multiple forms of abuse by employers. There are legal remedies relating to the incorrect use of the performance appraisal process. The statutory protection has been availed because the employer and employee are not on equal footing. An employer has resources and decision making powers that an employee does not have. The statutes seek to bring a balance in an uneven relationship.

According to Nel (1997: 271) and Nel *et al.* (1993: 16), any juristic person could be a subject of unfair labour practices due to the incorrect use of a performance appraisal system. A juristic person is a nonliving being in the form of an institution that is legally recognised to be a bearer of rights and duties. Grobler *et al.* (2011: 496), Muchinsky *et al.* (2005: 2215-216) and Bendix (2001: 319-320) state that, in terms of schedule 7 of The Labour Relations Act, Act 66 of 1995 (Republic of South Africa, 1995), an unfair labour practice is defined “as any unfair act or omission that arises between an employer and employee...” and it may include the following elements:

- Unfair discrimination on the basis gender, sex, colour, sexual orientation, social origin, disability, *et cetera*.
- An unfair conduct by the employer pertaining to granting of benefits, promotions, training, demotion, *et cetera*.
- Failure to reinstate an employee in terms of an agreement.
- An unfair suspension of an employee.

A court dispute, often referred to as litigation, which can be heard by the High Court or a court which is equivalent to it in status can emanate from the appraisal process with the employee (Immigration Officer) being the initiator and the employer (DHA) being the defending or responding party (Muchinsky *et al.*, 2005: 216; Boswell & Boudreau, 2002: 391; Grobler *et al.*, 2011: 301). Litigation can be initiated by an Immigration Officer if he or she is of the opinion that the Control Immigration Officer showed bias against him or her during the appraisal process.

The bias may relate to his or her sexual orientation, for instance the Immigration Officer may claim that he or she was unfairly or incorrectly appraised because he or she is gay. He or she will then allege that he or she was discriminated against and the conduct of the Control Immigration Officer falls within the definition of an unfair labour practice as defined in Schedule 7 of the Labour Relations Act.

According to Nel *et al.* (1993: 16), if an employee claim is upheld by the presiding officer, damages, ordinarily in monetary terms, may be awarded to the employee (Immigration Officer). Litigation is a costly exercise for both parties, and more so to the person against whom a judgement is issued. The expense may lie in damages and legal costs of both parties being paid by the person against whom judgement goes. Muchinsky *et al.* (2005: 216) state that the reasons for employees (Immigration Officers) to initiate litigation include the following:

- Negligence on the part of the employer, in the sense that he or she failed to appraise the employee.
- Defamation, in the sense that the employee's dignity was impaired by an appraisal that was untrue and unfavourable. In relation to the errors mentioned above, this ground has a direct relation to strictness or negative leniency.
- Misrepresentation, which can be the case in instances where prospective employers will overlook a person because of previously untrue and unfavourable appraisals.

According to Bendix (2001: 376- 377) and Grobler *et al.* (2011: 301), the appraisal process must be substantively and procedurally fair. This is a constitutional and administrative demand and failure to adhere to the standard of fairness can be a source of litigation (Nel *et al.*, 1993: 16; Grobler *et al.*, 2011: 301). The content mentioned above applies in all respects to Immigration Officers stationed at IMS, O R Tambo International Airport.

## **2.11 Conclusion**

In this chapter the author has explained what performance management and performance appraisal are and gave differences between these two related terms. The author discussed reasons why employers appraise their employees; criteria used to appraise the performance of employees; methods of appraising employees; errors which can occur in appraising the performance of employees; issues surrounding the relevant person to appraise an employee; how to manage performance and consequences that may arise from not appraising employees or and appraising them wrongly.

## CHAPTER 4

*The regulatory framework governing performance appraisal and an analysis of the performance agreement of Immigration Officers stationed at IMS, O R Tambo International*

### 4.1 Introduction

Laws in South Africa come in the format of statutes and bylaws. From such statutes regulations are also developed. Regulations emanate from enabling Acts only. In South Africa, statutes in the form of Acts are drawn up by the National Assembly, commonly referred to as Parliament, and the National Council of Provinces (NCOP). Prior to their commencement they are signed into law by the President of the Republic of South Africa. Post this they are published in the Government Gazette.

Thantsa (2013: 44) holds the view that the regulatory framework assists in service delivery. In the government administration such laws (statutes) are often supplemented by policies, directives and standard operating procedures (SOPs) or standard working procedures (SWPs). In this chapter, the author looks at the Constitution of the Republic of South Africa, some statutes and regulations affecting performance appraisal and the internal prescripts the DHA has in relation to performance appraisal. An analysis of the performance agreement is presented to assess whether it meets standards set in DHA internal prescripts governing performance appraisal and a conclusion to the chapter is provided.

### 4.2 The Constitution of the Republic of South Africa

According to section 2 of the Constitution, the Constitution is the supreme law of the land (Republic of South Africa, 1996). All laws and conduct must be in line with it. Performance appraisal is a conduct and it must conform to the Constitution. Values and principles found in section 195 of the Constitution apply to performance appraisal.

In line with section 195, supervisors and their subordinates must promote ethical behaviour; ascertain that the public administration is economic, efficient and effective; develop their skills; account for their actions; perform their functions in a transparent manner; and ascertain that there is representativity in the work place. The Constitution gives employees numerous rights. These rights include the right to be treated equally (section 9); to be treated with human dignity (section 10); to be free from servitude and slavery (section 13); to have their religious views respected (section 15); to have fair labour practices (section 23); to have just administrative action in their day-to-day living (section 33); to be given written reasons when their rights are adversely affected by decisions taken by administrators (section 32); to have recourse to courts (section 34); *et cetera*.

#### **4.3 Statutes affecting performance appraisal**

The supreme law of the Republic of South Africa and numerous statutes affect or play a role in the appraisal of Immigration Officers stationed at IMS, O R Tambo International. The following statutes affect the performance appraisal of employees: the Public Service Act; the Public Finance Management Act; the Labour Relations Act; the Skills Development Act; the Basic Conditions of Employment Act; the Employment Equity Act; the Promotion of Administrative Justice Act; and the Promotion of Access to Information Act.

According to the preamble of the Public Service Act, Act 103 of 1994 (Republic of South Africa, 1994), the Act regulates issues such as discipline, retirement, conditions of employment of employees and the discharge of persons who are employed in accordance with this Act. According to section 4, the Act makes provision for the development of public servants through the use of the South African Management and Development Institute. This is a mechanism aimed at ascertaining that effect is given to the developmental role of performance appraisal.

The Public Finance Management Act, Act 1 of 1999, is commonly referred to as the PFMA. According to its preamble, the Act is a monitoring tool for how government finances and assets are used. It emphasises accountability on the part of the users of public resources (Republic of South Africa, 1999). Chapter 4 of the PFMA makes provision for budgets to be drawn up and implemented. Budgets of government entities must ensure efficiency, economy and effectiveness in the use of both human and nonhuman resources (Thantsa, 2013: 53). If employees continue to be remunerated while targets are not being met, this will be classified as wasteful expenditure. Money allocated for pay progression and bonuses must be budgeted for and utilised in terms of the PFMA.

The impact of the Labour Relations Act, Act 97 of 1995 on performance appraisal was explained when ramification for the incorrect use of performance appraisal was done in the literature review. As a result, the author will not repeat what was stated above.

The preamble of the Skills Development Act, Act 97 of 1998, states that the Act must ascertain that there is an improvement in the skills that the South African work force has. The Act makes provision for skills audits, as provided in section 2 of the Act, and skills plans, provision for which is made in section 22 of the Act. The skills audit identifies what an employee has in the line of skills. On the basis of the identified skills that an employee has, it would be possible to determine the development he or she would need to perform productively or be promotable. The Act promotes a developmental role in appraising the performance of employees (Republic of South Africa, 1998b).

The Basic Conditions of Employment Act, Act 75 of 1997, gives effect to the right to fair labour practices as enshrined in the Constitution of the Republic of South Africa. This fact is mentioned in the preamble of the Act. It is a safeguard against abuse of the employees which an employer may practise. In relation to performance appraisal, the clauses on the termination of service in the Act are vital. These clauses are presented in Chapter 5 of the Act. Sections 36 to 42 of the Act address the termination of service. The author has shown that continued poor performance can be a ground for disciplinary proceedings. These proceedings may result in the termination of the employer-employee obligations, but the termination of service must be in line with the Act (Republic of South Africa, 1997).



The preamble of the Employment Equity Act, Act 55 of 1998, prohibits unfair discrimination and it promotes an efficient public service. The issue of unfair discrimination can be applicable in a work environment where supervisors are shown to have acted in a biased manner against an employee who raised or raises a dispute. According to section 10, the Act can be utilised to institute legal proceedings at various labour law related institutions, such as the Commission for Conciliation and Arbitration (CCMA) and the Labour Court (Republic of South Africa, 1998a).

The Promotion of Administrative Justice Act, Act 3 of 2000, is commonly referred to as the PAJA. The Act has given effect to the right enshrined in the Constitution to just administrative action. This is clearly stated in the preamble to the Act. Section 1 of the Act describes an administrative action as any decision or failure to take a decision by an organ of state. The act or omission must be in accordance with an Act. In accordance with section 239 of the Constitution, the DHA is an organ of state, because it is a government department. The appraisal of the performance of employees is an administrative action. As a result, appraisal must always be lawful, reasonable and procedurally fair in accordance with section 3 of the PAJA. Section 7 of the PAJA makes provision for a judicial review of decisions taken on performance appraisal on the basis of bias or suspected bias (Republic of South Africa, 2000b).

The Promotion of Access to Information Act, Act 2 of 2000, has given effect to the right enshrined in the Constitution of access to information. In the instance of an Immigration Officer being dissatisfied with the rating awarded to him/her during the performance appraisal process, the Officer may request reasons for the granted ratings from the Control Immigration Officer (Republic of South Africa, 2000a).

#### **4.4 Regulations affecting performance appraisal**

Statutes often make provisions for regulations to be made. This allows flexibility and the ability for a statute to remain relevant. The following regulations apply to the performance appraisal of Immigration Officers stationed at IMS, O R Tambo International: the Public Service Regulations of 2001 and the National Treasury Regulations No. 27388 (Treasury, 2005).

The Public Service Regulations of 2001 emanate from the Public Service Act. They are viewed by Thantsa (2013: 49) as a tool which operationalises the Public Service Act. Part VIII of the regulations makes it mandatory to assess performance (DPSA, 2001). It compels the accounting officer to report on performance; address poor performance; and put in place incentives for good performance (DPSA, 2001). The regulations make provision for the continuous development of the government workforce (DPSA, 2001). In relation to the DHA, the accounting officer is the person who is duly appointed as the DG (DPSA, 2001).

The National Treasury Regulations No. 27388 emanate from the PFMA. The regulations make provision for quarterly assessment and reporting on performance monitoring and evaluation of employees in the public sector. The quarterly reporting on the performance of employees is mandated in part 9, clause 29.3, of the National Treasury Regulations No. 27388 (Treasury, 2005).

#### **4.5 DPSA circular relating to performance appraisal**

The DPSA plays a critical role in the administration of government personnel. From time to time it publishes regulations affecting performance management of persons employed in the public service. The DPSA circular 2 of 2007 affects the performance appraisal of Immigration Officers stationed at IMS, O R Tambo International.

The circular makes provision for the PMDS to be standardised (DPSA, 2007). The circular makes provision for performance agreements (found in annexure A of the circular), work plan (found in annexure B of the circular), personal development plan (found in annexure D of the circular) and the performance review of employees who are permanently appointed and those who are still on probation (found respectively in annexure E and G of the circular).

#### **4.6 The regulatory framework of the Department of Home Affairs in relation to performance appraisal**

The DHA has developed and implemented an Integrated Performance and Management and Development Policy. The policy is applicable to employees on salary level 1 to 12 (DHA, 2009a: 4). Its application excludes employees appointed in terms of the occupation specific dispensation (OSD) and individuals who are offered internships (DHA, 2009a: 4). Key themes which can be extracted from it include the following: principles of performance management; performance planning; performance monitoring and assessment; rewards and recognition; and dispute resolution (DHA, 2009a: 5-13).

According to the DHA (2009a: 5) and DHA (2009b: 10), the following principles of performance management and development have to be taken into account when appraising employees:

- Managing performance in a consultative, supportive, non-discriminatory manner. This principle is aimed at enhancing efficiency, effectiveness and accountability in the DHA. Key to its fulfilment is communication between a supervisor and a subordinate. As much as an employee has a duty to render his or her service to an employer, an employer must show an interest in getting the most out of each employee. Supervisors must not be biased when appraising subordinates. The appraisal must be done through a two-way streak of communication and rendering the necessary support the employee will need to function optimally.
- Performance must be aligned to organisational goals. The goals of IMS were identified in Table 2.1. This emanates from the notion that each employee must add value or assist an organisation to realise its purpose for being.
- Effective and under performance must be identified and addressed accordingly. The means to address underperformers we stated in Chapter 3. The PIP is a mechanism used in the DHA to address underperformers. Effective performers are categorised in four classes, as shown in Table 4.1. A pay progression and/or a bonus are awarded to effective performers.

- The use of a PMDS should limit the administrative burden on supervisors and promote a transparent administration. In relation to transparency, it is expected that it must be evident and know what is expected from each employee. This is outlined in a performance agreement. The agreement sets out what must be achieved and which measures will be used to assess whether goals and targets are being met. The view of simplifying or not making the performance agreement an administrative burden is answered in this chapter alongside the second question on the analysis of the performance agreement of Immigration Officers stationed at IMS O R Tambo International Airport.

Table 4.1: The management of rewards and performance in DHA in relation to performance appraisal

<b>Performance category</b>	<b>Total score</b>	<b>Probation</b>	<b>Development</b>	<b>Pay progression</b>	<b>Performance bonus</b>
Unsatisfactory performance	69% and lower	Extend probation	Agree on development programme	None	None
Performance not fully effective	70% - 99%	Confirm probation	Agree on development programme	None	None
Performance fully effective	100% - 114%	Confirm probation	Agree on development opportunities	1%	None
Very good performance	115% - 129%	Confirm probation	Agree on development opportunities	1%	5% - 8%
Performance significantly above expectations	130% - 149%	Confirm probation	Agree on development opportunities	1%	9% - 12%
Outstanding performance	150% - and above	Confirm probation	Agree on development opportunities	1%	13% - 18%

Adapted from DHA, (2009a: 13).

Performance planning commences with the conclusion of a performance agreement (DHA, 2009a: 6). The agreement is entered to at the beginning of the financial year (in April of each year) and such an agreement must be concluded for all new employees within two months of assuming duty (DHA, 2009a: 6; DHA, 2009b: 16). It is essential that the performance agreement is linked to the organisational goals and the job description of the incumbent of a particular post (DHA, 2009a: 6; DHA, 2009b: 16).

The weight to be attached to the agreement is a 100 per cent, of which 80 per cent goes to KRA and 20 per cent goes to GAFs (DHA, 2009a: 6; DHA, 2009b: 19). According to DHA (2009b: 1-15), Annexure C, the selection may be made from the following GAFs: job knowledge, technical skills, acceptance of responsibility, quality of work, reliability, initiative, communication, interpersonal relations, flexibility, team work, planning and execution, leadership, delegation and empowerment, management of financial resources and management of human resources.

Performance monitoring and assessment is either done bi-annually or quarterly (DHA, 2009a: 7). It is done quarterly for employees who are on probation (DHA, 2009a: 7). The assessment commences with the subordinate assessing himself or herself (DHA, 2009a: 7). In the instance that an employee wants a rating above average, he or she must collect and submit evidence to support the above average ratings (DHA, 2009a: 8)

After the assessment, the supervisor must inform a subordinate of the outcome in writing (DHA, 2009a: 15). It is a standard practice that a moderating committee is established to assess the outcomes of the assessment. According to the DHA (2009a: 8-9), the committee plays the following roles:

- Determine whether norms and standards are met and applied consistently.
- Ascertain that only 1,5 per cent of the DHA's remunerative budget is used for bonuses.
- Ascertain that only 1 per cent of the DHA's remunerative budget is allocated for pay progressions.
- Recommend reward levels and remedial levels.

- Make recommendations for actions to be taken against supervisors' non-use or incorrect use of PMDS.
- Play an oversight role in PMDS-related matters.

Table 4.1 relates to how the DHA determines rewards and recognition in relation to performance appraisal. The table outlines the required scores for the confirmation of probation, the issuance of a performance bonus and the annual pay progression. Bonuses are derived from a budgeted amount, and in the instance that the amount of deserving employees exceed the available budgeted amount, the moderating committee may recommend a varied performance bonus ration to be given to employees or make the qualification criteria more strict to allow for the planned amount to be effectively utilised (DHA, 2009a: 10).

According to the DHA (2009a: 10), an employee must meet the following eligibility criteria before being granted a performance bonus:

- On 31 March of each performance cycle period an employee must have remained at the same salary level for the preceding 12 months.
- The employee must have performed above average.
- The employee must not have missed more than three months of active work.

If there are disputes between a supervisor and a subordinate in relation to performance appraisal, the next in line of authority must mediate (DHA, 2009a: 11). In the context of the performance appraisal of Immigration Officers stationed at IMS, O R Tambo International Airport, an Assistant Director will be the mediator. If mediation fails, an Immigration Officer must lodge formal grievance within 90 days, following the failure of the mediation process (DHA, 2009a: 11).

Knowledge and practical guidelines on performance appraisal are found in the performance Management and Development Policy Implementation Guidelines document of the DHA. The following themes will be elaborated on: the performance agreement, the work plan and the personal development plan (PDP).

According to the DHA (2009b: 16), a performance agreement serves the following three purposes: it states what the agreed goals between a supervisor and a subordinate are; it serves as a yardstick to assess achievement or failure by subordinates; and it tells an organisation what was achieved, what was done well, and in which areas an employee has to improve. A performance agreement must include KRAs; state the review intervals; and have a work plan (DHA, 2009b: 16). KRAs must not exceed five in number (DHA, 2009b: 18). The conclusion of a performance agreement does not mean that there will not be changes in what an employee does. The DHA (2009b: 16-17) makes provision for the amendment of performance agreements under the following circumstances:

- If the employer changes an employee's job during a performance cycle.
- If an employee will be acting in a higher capacity for a period exceeding six weeks.
- If the employer restructures a place of employment and certain jobs become obsolete in the new structure.
- If it is a plan of action to redress poor performance.

A work plan is an instrument which guides an employee with regard to the expectations of the employer; standards to be met; and measures to be used to assess performance (DHA, 2009b: 16). A work plan is part of a performance agreement. It is mandatory for each employee to have a work plan (DHA, 2009b: 17). A work plan must reflect KRAs identified in the performance agreement. According to the DHA (2009b: 18), all identified KRAs must be SMART. The following explanation is derived from DHA (2009b: 18) on the meaning of SMART KRAs:

- KRAs must be **S**imple, clear and understandable.
- KRAs must be **M**easurable, in accordance to quantity and, if possible quality, money and time.
- KRAs must be **A**chievable and agreed between the member and the supervisor.
- KRAs must be **R**ealistic. This entails that things which are meant to be achieved must be within the employee's grasp, but yet challenging.
- KRAs must be **T**imely. This entails that the KRAs must reflect current priorities.

Identified KRAs need to be afforded weight and performance indicators need to be identified (DHA, 2009b: 19-22). In determining the weight of the KRA, the following determine the appropriation: strategic importance; percentage of time devoted to the responsibility; the size of the gap in performance to be closed; and the potential impact the KRA has on the department's strategy.

In the assessment process, KRAs are related to GAFs. This is in line with the 80:20 ratio between the two. An Immigration Officer must have at least five GAFs (DHA, 2009b: 26). The chosen GAFs must enhance productivity and must be in line with an employee's KRAs (DHA, 2009b: 26). In choosing GAFs, the frequency of a particular GAF in the day-to-day function of an Immigration Officer is a deciding factor (DHA, 2009b: 26).

The DHA (2009b: 21) defines an indicator as "a statement that describes the level of performance achieved in relation to set aims and/or objectives." An indicator informs managers of the existence of certain conditions, the achievement of certain activities and the non-achievement of certain activities (DHA, 2009b: 21). Performance indicators must be objective, observable and capable of being measured accurately and reliably (DHA, 2009b: 21).

A PDP is a measure to improve on GAFs (DHA, 2009b: 26). A Control Immigration Officer must identify performance shortfalls on the basis of previous performance or make assumptions about them (DHA, 2009b: 21). From such identification, he or she must plan a way to address the noticed and assumed shortcomings (DHA, 2009b: 26).

#### **4.7 Performance agreement as a contract**

It has already been established that an employer-employee relationship is based on a contract. It has also been shown that a performance agreement states what the agreed goals between the employer (supervisor) and the employee (subordinate) are, that it serves as a yardstick to assess the achievement or failure by subordinates and tells an organisation what was achieved, what was done well, and in which areas an employee has to improve. Despite this, the agreement as a form of contract has not yet been explored. This section looks at an agreement as a form of contract.



According to Christie (1996: 21-113) and Ker (1998: 1-152) the following need to be present to establish an agreement as a contract:

- Presence of two or more parties. This entails that one person cannot contract with himself or herself. There must always be a second person with whom to an individual/entity can enter into an agreement with. In the context of a performance agreement, an employee and his or her supervisor are the two parties needed to initiate and conclude a contract.
- The presence of a true agreement. This is often termed a meeting of minds. It refers to consent on entering into a contract between the two or more contracting parties. In the context of a performance agreement, it is mandatory for such agreement to be met. When both parties conclude contracts of employment, such a meeting of minds is assumed to be present.
- There must be an offer. An offer is a proposal. From such a proposal it is assumed that its acceptance concludes a contract. In the context of a performance agreement, the offer emanates from a contract of employment. Once the employee or prospective employee accepts the offer, this requirement is fulfilled.
- The acceptance of an offer. An offer can only be accepted by the person it was made to. In the absence of an unequivocal acceptance, an offer can never be viewed to have been accepted. The signing of a contract of employment fulfils this requirement.

The doctrine of *caveat subscriptor* applies to signed documents (Christie, 1996: 194). The doctrine states that, if a person signs a contract, he or she would be bound to the contract's content and terms and conditions and, as a result, he or she can never claim to have not known anything pertaining to the signed document. In relation to the current study, the Immigration Officer is viewed as such a person (Christie, 1996: 194-199).

#### **4.8 An assessment of the performance agreement of IMS Immigration Officers stationed at O R Tambo International Airport**

This segment of the study consists of two parts. First a description of the performance agreement of Immigration Officers at IMS, O R Tambo International Airport, is given. Following this, the author will identify certain elements, which will be phrased in question format, from the DHA policy and its guidelines. These elements were utilised to assess whether the performance agreement of Immigration Officers at IMS, O R Tambo International Airport, conforms, partially conforms or fails to conform to the DHA policy on PMDS.

##### **4.8.1 Part 1: A description of the performance agreement of Immigration Officers at IMS, O R Tambo International Airport**

The performance agreement commences by introducing who the subordinate is and who the supervisor is. The details given about the subordinate are as follows: surname and initials, rank, persal number, salary level, province in which the employee is stationed and the office at which the employee is stationed. Below these details the performance cycle is named. The details of the supervisor include the following: surname and initials, rank, persal number and salary level.

Next the job's purpose and functions are introduced. These two concepts and the wording used in the performance agreement were introduced in Chapter 2 under the heading 'Methods of appraising employees'.

The next item on the performance agreement of Immigration Officers at IMS, O R Tambo International Airport, is a work plan. The work plan is centred on the KRAs mentioned in the literature review under the heading 'Criteria used in appraising employees' and GAFs, found under the same heading as KRAs. Each KRA is associated with a weight, key activities, performance indicator, the Batho Pele principles and targets. Each GAF is associated with a weight and specific standards.

The performance appraisal includes conditions of performance. They outline obligations which both parties have in relation to performance appraisal. The employer, represented by the supervisor, has a duty to provide the necessary resources and leadership for the attainment of the goals and standards set in the agreement; to avail the working environment to the employee; to develop the competencies of the employee; and to assist in problem solving. According to the performance agreement, an Immigration Officer has the following duties in relation to performance management and assessment:

- Collect a portfolio of evidence, which will be used during the assessment and moderation.
- Inform the employer of any obstacles which may make him or her fail to meet the required standards.
- Follow protocol in ascertaining that standards are met.
- Discuss targets with the supervisor.
- To achieve the targets lawfully, in line with all public service prescripts.

The performance agreement outlines the performance assessment framework. The framework is presented in Table 3.2. The performance agreement serves as a PDP. Under PDP it has to outline what development plans an employer has for the employee. The performance appraisal has a time table for the review of performance. Employees on probation are appraised quarterly, *i.e.* in June, September, December and March. Permanent employees are appraised half yearly, *i.e.* in September and March.

According to the performance agreement of Immigration Officers at IMS, O R Tambo International Airport, disagreements and disputes must be resolved in line with the policy on PMDS. These disagreements and disputes must relate to key responsibilities, priorities, methods of assessment and/or incentives. The agreement is closed by the signatures of the employee, a subordinate and the next level supervisor.

#### **4.8.2 Part 2: An assessment of whether the performance agreement of Immigration Officers at IMS, O R Tambo International Airport, conforms partially, conforms, or fails to conform with the policy on PMDS**

On the basis of the information given under the heading ‘Regulatory framework affecting the performance appraisal of Immigration Officers stationed at IMS, O R Tambo International’ in this chapter, the author has devised 14 questions to assess whether or not the performance agreement of Immigration Officers at IMS, O R Tambo International Airport, conforms or fails to conform with the PMDS policy of DHA. The questions are as follows, and each question is followed by the author’s remarks on the question posed:

- a. Do identified goals, ‘the job purpose and job functions’, support the organisational goals? This question is answered in the affirmative. Immigration Officers at IMS, O R Tambo International Airport, support the DHA in meeting the IMS goal of administering admission into the country and doing inspectorate functions.
- b. Is the performance agreement an administrative burden? This question is answered in the negative. As opposed to having multiple documents, there is one document meeting multiple purposes. The document serves as a performance agreement, a work plan and a PDP.
- c. When is the performance agreement concluded and for which period is it concluded? The performance agreement is concluded at the beginning of a financial year, in April. It is valid until the last day of March of the following year.
- d. The ratio of KRAs to GAFs; is it in line with the policy? The agreement does not specify the ratio. Both items are rated at 100 per cent. The policy recommends an 80:20 ratio.
- e. Are the chosen GAFs in line with Annexure C? Yes, they were chosen from it.
- f. What time frames are allocated in the performance agreement for employees to be appraised? The agreement makes provision for permanent employees to be assessed on a half-yearly basis and for those on probation to be assessed quarterly. This is in line with the PMDS policy framework.
- g. Does the agreement make provision for a portfolio of evidence? Yes, the portfolio is meant to be used in both the assessment phase and the moderation phase.

- h. Is the performance assessment framework in the performance agreement as comprehensive as the one in the PMDS policy? It is not. It only describes the performance and its associated percentage. Table 4.1 is more comprehensive. It adds information on development, pay progression and a performance bonus.
- i. Does the performance agreement give guidelines about disputes? Not in totality. It informs the user to refer to the policy. As a result, this insertion makes the policy part of the agreement.
- j. Are KRAs SMART? All KRAs are simple, measurable in terms of quality, achievable and agreed between the parties, realistic and timely.
- k. Are KRAs weighed in line with DHA priorities? This question is answered in the affirmative. It is essential for Immigration Officers at IMS, O R Tambo International Airport, to ensure that travellers meet the set requirements; to treat passengers courteously; to protect face value documents and assets; and ascertain that the right endorsements are made.
- l. Is the number of KRAs in line with the PMDS policy? Yes, the performance agreement makes provision for five KRAs. The policy recommends a maximum of five KRAs to be included in the performance agreement.
- m. Are the GAFs in line with the day-to-day functioning of the jobs done by Immigration Officers at IMS, O R Tambo International Airport? The following five GAFs are relevant: knowledge management; service delivery innovation; problem solving and analysis; communication and client orientation; and customer focus. People management and empowerment is the odd one. This is due to the fact that, from an operational perspective, the relevant persons are the lower ranking officials, with the result that they can never empower or manage anyone without first attaining a higher position or being requested to act in a higher position for a duration exceeding six weeks. If a temporary appointment to a higher position is made, such a decision must be made in the form of amending the performance agreement of the temporarily appointed person.
- n. Does the performance agreement make provision for a PDP? Yes. The author has reservations as to whether it is effectively utilised. As a result, the issue will be explored further in the empirical component of this study.

On the basis of the answers given above, the author is of the view that the performance agreement meets the requirements of the PMDS policy to a large extent. On the basis of questions regarding which there is non- or partial conformity, the author will make recommendations regarding means to improve the performance agreement in the final chapter of the study.

#### **4.9 Conclusion**

Statutes and regulations affecting the performance appraisal of Immigration Officers stationed at O R Tambo International Airport have been introduced in this chapter. The regulatory framework commences with the Constitution of the Republic of South Africa, which is the cornerstone of all laws and action. Next in the regulatory chain is the various statutes and regulations emanating from such statutes.

The DPSA is the custodian of the functioning of government in relation to the management of personnel and the various benefits offered to personnel appointed in terms of the Public Service Act. From time to time, the DPSA offers guidelines on performance appraisal. Often various government departments are compelled to execute such guidelines in a raw form or adapt them to their specific environments. The DHA has implemented its policy on PMDS and it has issued guidelines in line with the DPSA guidelines.

The author has shown the impact the regulatory framework has on the performance appraisal of Immigration Officers stationed at O R Tambo International Airport. A detailed overview of the DHA policy on PMDS and its guidelines has also been provided. A performance agreement was shown to be a contract that binds the employer and the employee. The assessment of the performance agreement that was done has found that the performance agreement is largely in line with the DHA PMDS policy and its guidelines.

## CHAPTER 5

*The empirical component of an assessment of the performance appraisal for Immigration Officers of the Department of Home Affairs (DHA) at O R Tambo International Airport*

### 5.1 Introduction

The study of an assessment of the performance appraisal for Immigration Officers of the DHA at IMS, O R Tambo International Airport, involved a non-empirical component and an empirical component. This part deals with the empirical component and the author will present this component in line with the literature on research design and methodology.

The study had four focus points. Firstly, it had to determine whether the performance appraisal of Immigration Officers of IMS, O R Tambo International Airport, was generalising performance. Secondly, it had to determine whether Immigration Officers of IMS, O R Tambo International Airport, were merely appraised for the sake of adhering to administrative directives. Thirdly, it had to determine whether appraising errors identified in the literature review are also witnessed in the appraisal of Immigration Officers of IMS, O R Tambo International Airport. Lastly, it had to determine whether the appraisal of Immigration Officers played any evaluative and/or developmental roles.

IMS officials, ranked Immigration Officers and Control Immigration Officers stationed at IMS, O R Tambo International Airport, participated in the surveys. The surveys were separate and interrelated. In responding to the questions, the participants chose from the following alternatives: affirmative, negative or uncertain.

In managing and analysing the data, the author used a programme called MoonStats. The author programmed MoonStats in line with questions posed in the survey and the acquisition of biographic data of participants. The author used numbers to depict certain responses to the data required from the surveys. In relation to the surveys, the totals of affirmative, negative and uncertain responses were converted into percentages.

In this section and as part of addressing the four focus points, the author will elaborate on the research design used; elaborate on the population and sample of the study; introduce the instrument used in the empirical component of the study; introduce the use of the study tool; and ethical considerations and present the results and analyse them. The results and the analysis of results obtained from both Immigration Officers and Control Immigration Officers will be presented separately. The author will then present a conclusion to this chapter.

## **5.2 Research design and methodology**

The ‘what’ and the ‘how’ in the research process are important when the issue of research design and methodology is addressed (Thantsa, 2013: 75). The ‘what’ relates to the four focus points identified above. The ‘how’ relates to the means or methodology used by the author to answer the ‘what’, the four points of focus (Thantsa, 2013: 75).

Thantsa (2013: 75-76) quoted Mouton (2008, 49: 57) in relation to the uses of the terms research design and methodology. The view advanced by Thantsa (2013: 75-76) is that the two terms are used in an inseparable way. Her explanation of the research design relates to the ‘what’ and research methodology as to the ‘how’.

In addressing the issue of research design and methodology it is essential to know the following: the type of data used; the nature of the data; the degree of control; and the instrument used in the study (Mouton, 2011: 145- 180). The data used in the study is primary data. The nature of the data is textual. The degree of control in the study was low, due to the non-experimental nature of the study. Surveys were used to address the problem statement and the four identified focus points. This allowed the author to get answers from those who were appraised and those who were appraising others.

The author chose to use a survey due to the possibility of using a sample, which can be used to represent a large population. From the views elicited from a sample, it is possible to generalise about a concerned population (Mouton, 2011: 153). The author is aware that a survey has the shortcoming of not addressing identified issues in depth.



### 5.3 Population and sample

The population (N) consisted of Immigration Officers and Control Immigration Officers working at operations at IMS, O R Tambo International Airport. On 22 June 2014, the population consisted of 238 Immigration Officers and 17 Control Immigration Officer (Mmushi, B., Personal interview, 19 June, 2014, Pretoria). The ratio in terms of male to female Immigration Officers was unspecified (Ledwaba, M.A. & Matsetse, M.D., Personal interviews, 19 June 2014, Pretoria). However, a ration of five males to four females was estimated to be an accurate depiction (Mmushi, B. & Nkhoma, M.T., Personal interviews, 19 June 2014, Pretoria). The ratio of male to female Control Immigration Officers stood at 11: 6. Figure 5.1 outlines a depiction of the population.

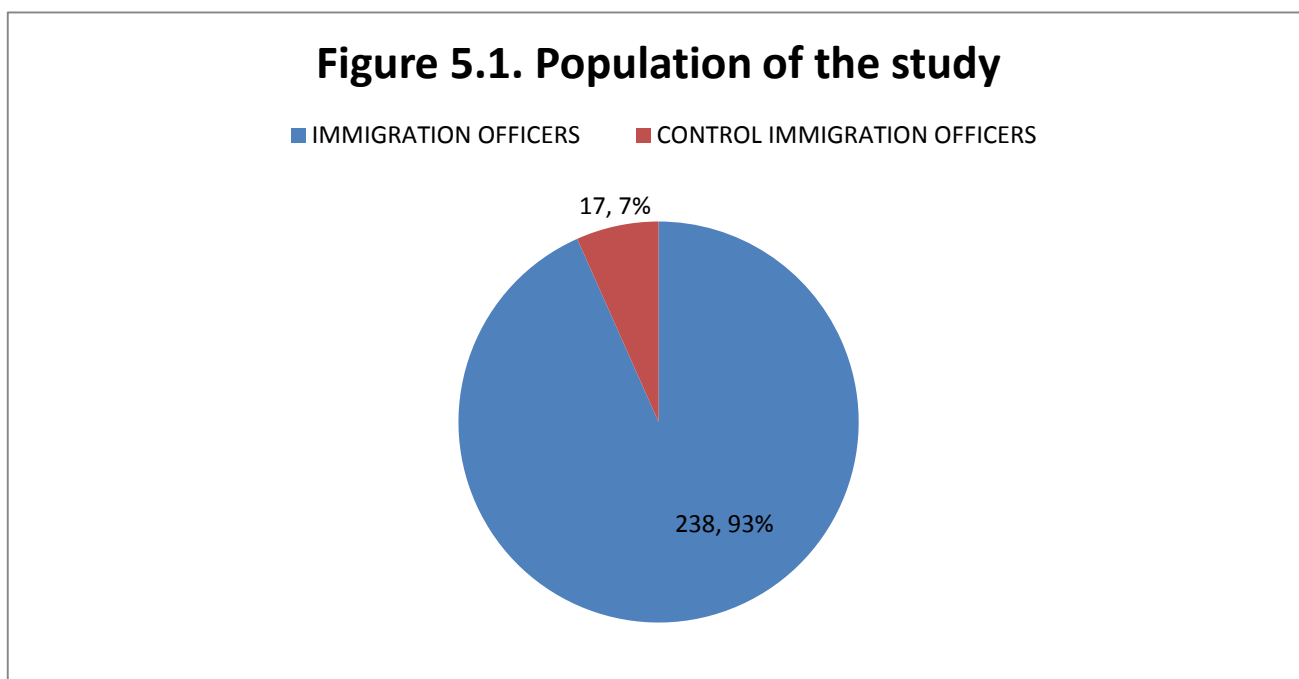


Figure 5.1: Population of the study

The sample consisted of both ranks, both male and female. Twenty-seven Immigration Officers participated. Of the 27, 14 were males and 13 were females. The sample thus constituted 11 per cent of the population of Immigration Officers. Figure 5.2 depicts the sample of Immigration Officers.

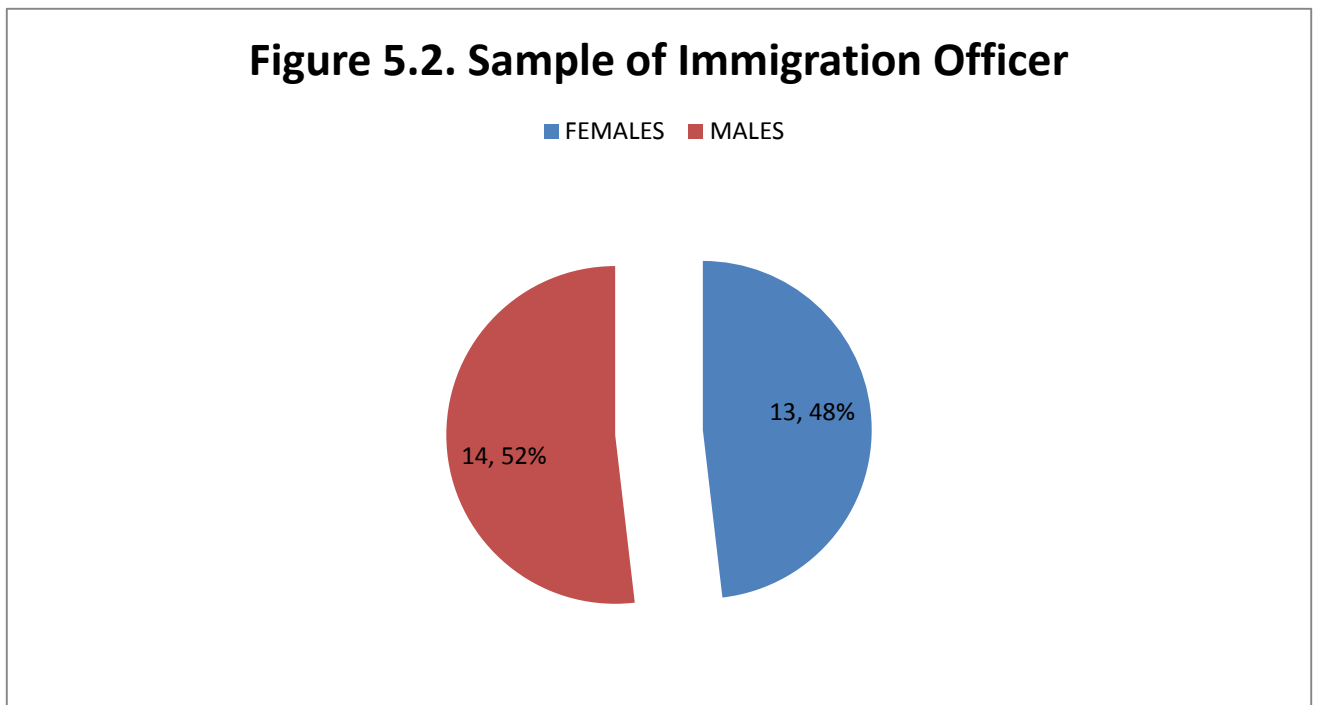


Figure 5.2: Sample of Immigration Officers

The sample of Control Immigration Officers consisted of nine people. Six of the nine participants were males and three were females. This sample constituted 52 per cent of the population of Control Immigration Officers. Figure 5.3. depicts the sample of Control Immigration Officers.

**Figure 5.3. Sample of Control Immigration Officer**

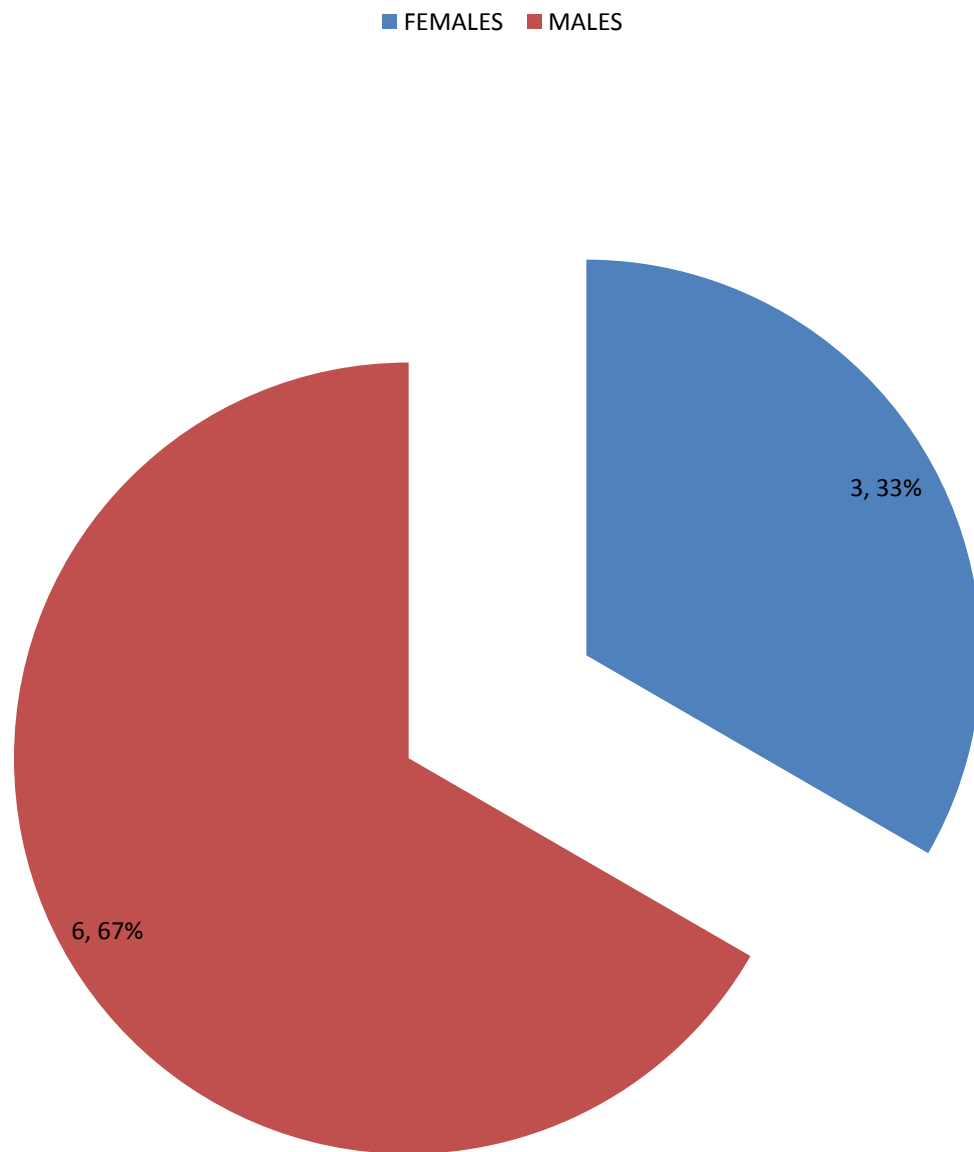


Figure 5.3: Sample of Control Immigration Officers

#### **5.4 The instrument used in the empirical component of the research on the assessment of the performance appraisal for Immigration Officers of the Department of Home Affairs (DHA) at O R Tambo International Airport**

Two separate and interrelated survey questionnaires were used in the study. Key themes covered in the development of the surveys for both Immigration Officers and Control Immigration Officers were the following: management of performance; the use of the performance appraisal tool; purpose of appraising employees; generalising of performance; and errors encountered in the appraisal process. Twenty-seven questions were developed for Immigration Officers. The posed questions are included as Appendix C. Twenty-six questions were developed for Control Immigration Officers. These questions are included as Appendix D.

#### **5.5 Administering of the instrument used in the empirical component of the research on the assessment of the performance appraisal for Immigration Officers of the Department of Home Affairs (DHA) at O R Tambo International Airport and ethical considerations**

The survey was sent to various Assistant Directors at IMS, O R Tambo International Airport, by means of electronic mail. The Assistant Directors were given quotas for their respective groups. They were briefed by the author that participation was voluntary and that the confidentiality of the participants was to be respected.

The survey had the following biographic fields: gender, race, highest level of education and, for Control Immigration Officers, a field enquiring about their experience as a supervisor in the public service. These fields had options from which participants had to choose one. Each choice was allocated a number. These fields guarantee anonymity and confidentiality. In answering questions pertaining to biographical data, each participant had to answer by circling the relevant box.

Participants were requested to indicate their highest level of educational qualifications. Figure 5.4 and Figure 5.5 present the results acquired from participants regarding highest level of educational qualifications.

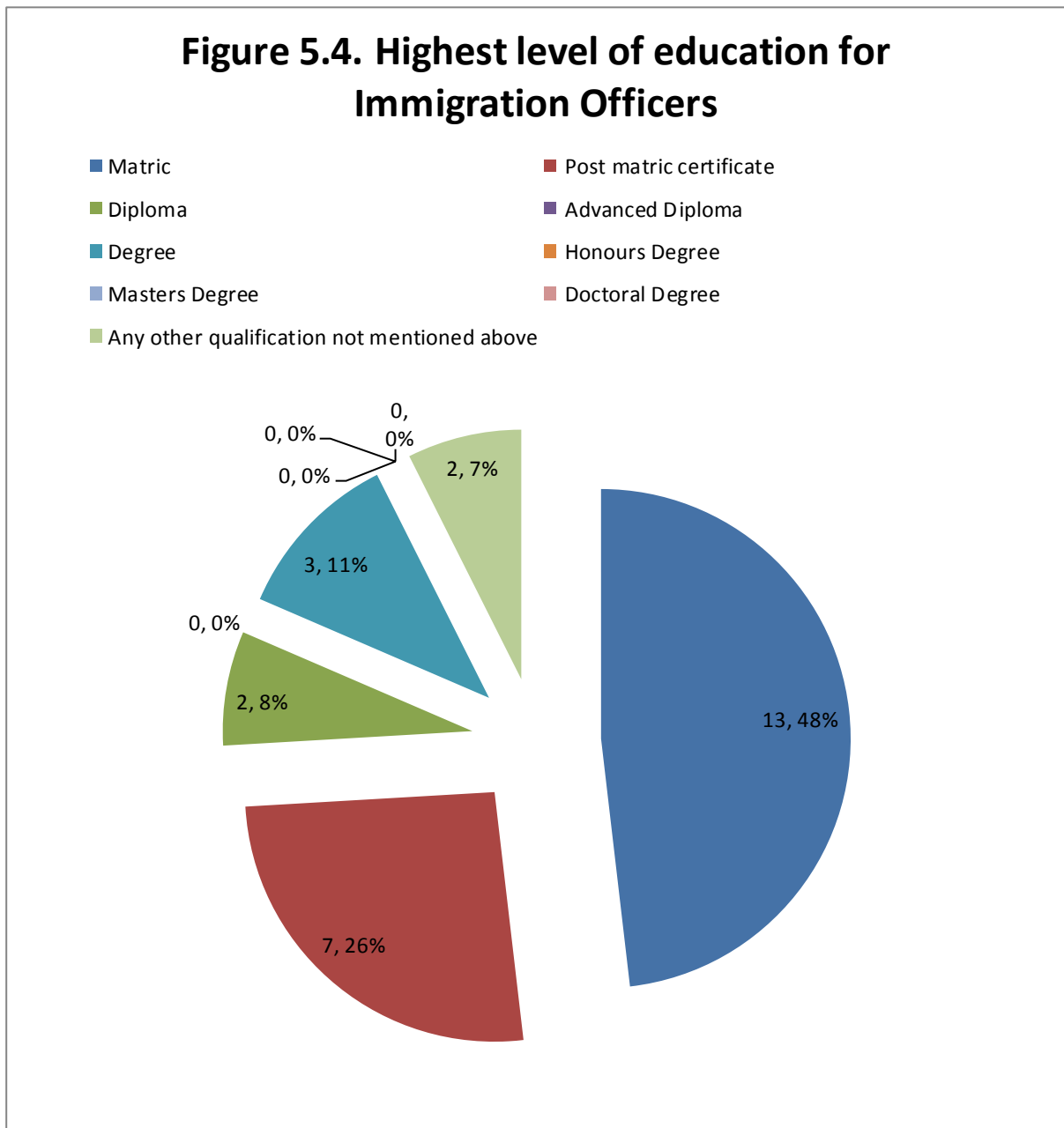


Figure 5.4: Highest level of educational qualification for Immigration Officers

Control Immigration Officers were requested to indicate their experience as supervisors in the public service. Figure 5.6 depicts results acquired from the participants (supervisors) in relation to their experience as supervisors.

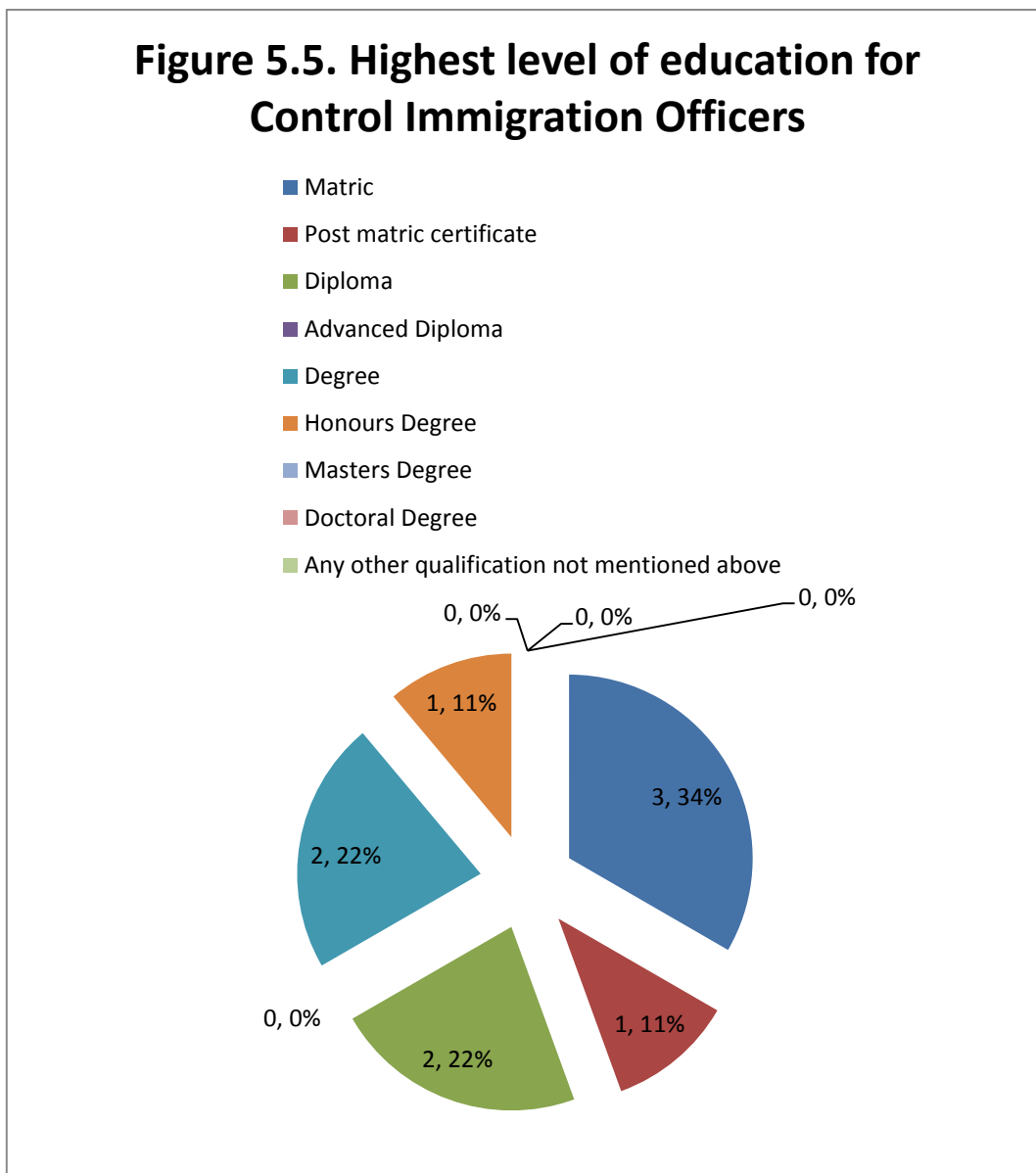


Figure 5.5: Highest level of educational qualifications for Control Immigration Officers

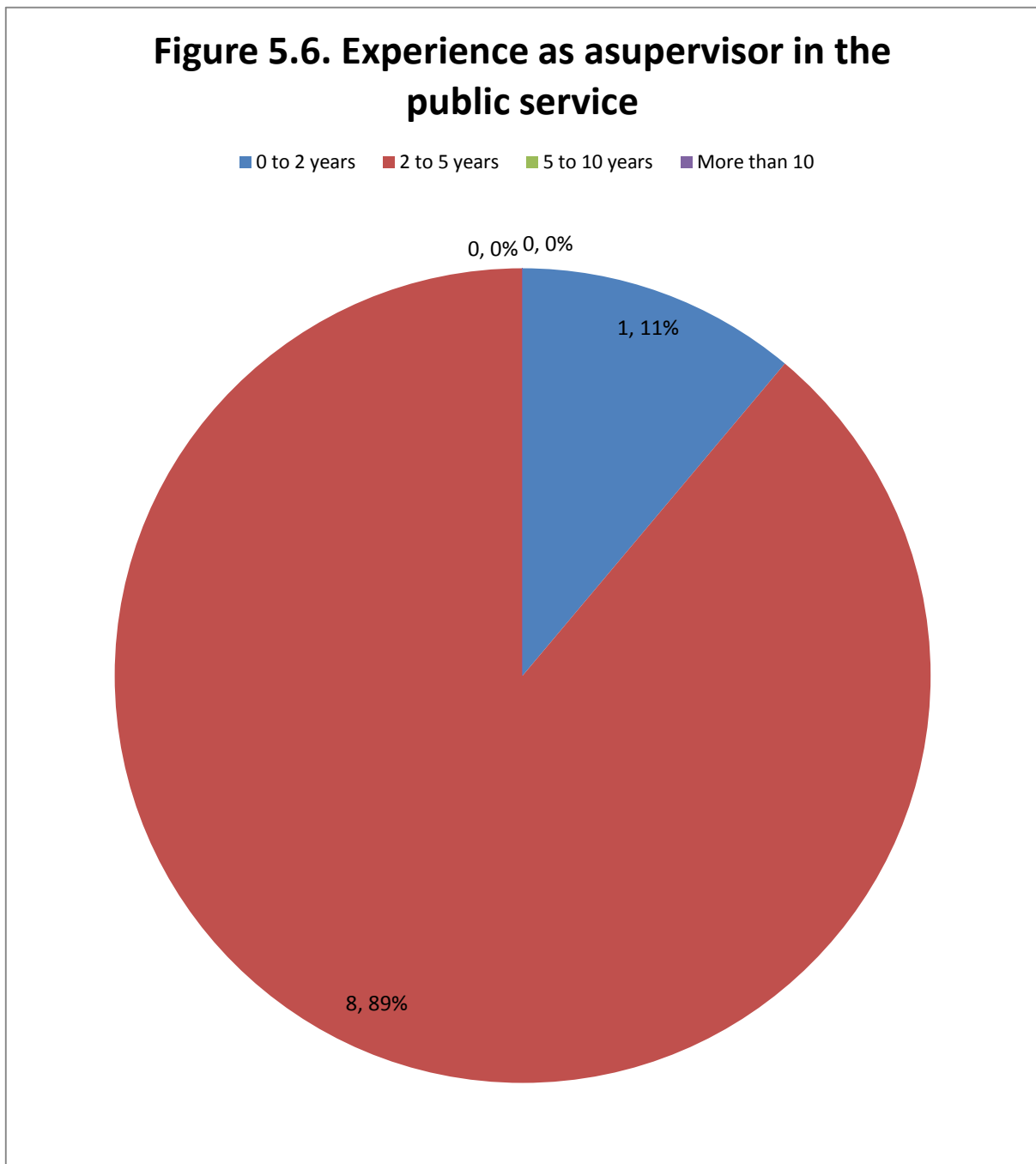


Figure 5.6: Experience as a supervisor in the public service

The survey consisted of numerous questions. Participants had three possible choices for each question posed. The options were agree (yes), disagree (no) and uncertain. The uncertain option indicated neither a positive nor a negative response. In answering the questions in the survey, each participant had to respond by circling the relevant box in accordance with the provided choices.

On completion of the survey, each participant had to put his or her survey in an envelope. The envelope had to reach the author in a sealed format. This was a mechanism used to ascertain that confidentiality and guaranteed privacy was ensured for the views of each participant.

Each participant was handed a consent form. This form had to be signed by the participant. The contents of the consent form appear in Appendix B.

## **5.6 Results and analysis of the survey administered to Immigration Officers of the Department of Home Affairs (DHA) at O R Tambo International Airport**

Twenty-seven Immigration Officers participated in the study. Figures and the analyses are presented in percentage format. The percentages were converted to the highest decimal; any decimal below 5 was converted to zero and any decimal above 4 was converted to 1. Figure 5.7 presents the answers given by Immigration Officers to questions in the administered survey.

The discussion of these results is presented below. The answers derived from each question are followed by an analysis of the specific result. The sequence of the answers follows the one found in Appendix C, Ms seq 4 to 30. In relation to questions 1 to 27, the following can be stated:

- a. Eighty-nine per cent of the participants stated that they had valid performance agreements with DHA. Eleven per cent of the participants gave an uncertain response to the posed question. The results reflect the DPSA position that each department or government institution must appraise its employees. This is also in line with NPM. A performance agreement is a tool used to show what employees are doing and it can also be used as an instrument to make institutions economic, effective and efficient.
- b. Seventy per cent of the participants viewed a performance agreement as a binding contract between an employee and an employer. Eleven per cent of the participants disagreed and 19 per cent of the participants were uncertain. Most participants understood the value of the agreement. Only a few understood it as being another administrative burden, which had to be completed for the sake of adhering to administrative directives. The posed question was closely related to the question on whether performance appraisal is done solely to adhere to administrative directives.



More than 10 per cent, a minority view, of participants supported the notion that performance appraisal is done solely to adhere to administrative directives.

- c. Eighty-one per cent of the participants stated that they signed their performance agreement voluntarily. Seven per cent of the participants stated that they signed because of being compelled. Eleven per cent of the participants were uncertain. A greater proportion of participants entered into the performance agreement voluntarily. A limited number stated that they did it due to compulsion. A limited percentage of participants failed to comprehend the value of contracting.
- d. Seventy-four per cent of the participants agreed that they knew what they were assenting to. Eleven per cent of the participants answered in the negative. Fifteen per cent of the participants were uncertain. This question related to the doctrine of *caveat subscriptor*. Only a few participants failed to comprehend that their signature binds them.
- e. Thirty-seven per cent of the participants viewed ratings awarded to them during the performance appraisal process as a true reflection of their performance. Fifty-nine per cent of the participants had the opposite view. Three per cent of the participants were uncertain. The question related to generalisation of performance during the assessment period. A large number of participants viewed their rating as unjust. The responses given serve as evidence of generalisation during the performance assessment period.
- f. Fifty-nine per cent of the participants agreed that 3 was a common rating in their subgroup. Thirty-seven per cent of the participants answered in the negative. Four per cent of the participants gave an uncertain response. The question related to generalisation of performance. A large number of participants viewed their rating as a common rating. According to the performance assessment framework presented in Table 3.2, 3 is viewed as satisfactory performance. The affirmative responses given to this question serve as evidence of generalisation.
- g. Forty-four per cent of the participants agreed that their performance agreement indicated their developmental path. The same percentage of the participants disagreed. Eleven per cent of the participants were uncertain. The question related to the use of performance appraisal for developmental purposes. The derived results do not indicate that performance appraisal is used for developmental or for nondevelopmental purposes. What can be stated is that the performance agreement makes provision for a developmental path.

- h. Sixty-three per cent of the participants agreed that they have discussed their developmental needs with their supervisor. Thirty-seven per cent of the participants stated that they did not. A large number of participants stated that they have discussed their developmental needs with their supervisors. These responses serve as evidence for development to be integrated in performance management.
- i. Nineteen per cent of the participants indicated that they have been sent on a developmental course. Seventy-four per cent of the participants stated that they had not and Seven per cent of the participants gave an uncertain response. A low percentage of the participants have been sent for developmental courses. This may be due to working in a service-orientated environment. The negative responses given reinforce the view that performance appraisal as a developmental tool at IMS, O R Tambo International Airport, is not taken into consideration when Immigration Officers are being appraised.
- j. Fifty-six per cent of the participants stated that since being appraised they have become more productive. Thirty per cent of the participants expressed the opposite view. Fifteen per cent of the participants were uncertain. A significant number of participants showed that one of the objectives of appraising employees is met. This objective is termed effectiveness. This objective also impacts on the efficient and economic use of resources.
- k. Fifty-six per cent of the participants indicated that since having been appraised, they use fewer resources to achieve their job goals and objectives. Thirty-seven per cent of the participants responded negatively. Seven per cent of the participants were uncertain. A significant number of participants showed that one of the objectives of appraising employees is met. This objective is termed efficiency. This objective also impacts on the effective and economic use of resources.
- l. Thirty-seven per cent of the participants indicated that, in their view, the DHA rewards poor and good performance in a similar manner. Forty-one per cent of the participants disagreed. Twenty-two per cent of the participants were uncertain. The responses do not give a clear-cut answer regarding the rewarding of good and bad performers. A significant number of participants stated that the two performers are rewarded differently. The question also related to the generalisation of performance. More than 30 per cent of participants held the view or supported the view that there is generalisation in the performance assessment of Immigration Officers stationed at IMS, O R Tambo International Airport.

- m. Fifty-two per cent of the participants stated that they had had a performance interview with their supervisor prior to finalisation of the performance assessment. Forty-four per cent of the participants held a different view. Four per cent of the participants were uncertain. A large percentage of the participants therefore noted that they had had a performance interview. In line with the literature review, however, more needs to be done in relation to the subject matter in this question. The question posed is closely related to the question on whether performance appraisal is done solely to adhere to administrative directives. More than 40 per cent of participants supported the notion that performance appraisal was done solely to adhere to administrative directives.
- n. Twenty-seven per cent of the participants stated that they knew how to lodge a dispute about the assessment rating awarded to them. Fifty-six per cent of the participants stated that they did not, and 15 per cent of the participants were uncertain. A high percentage of the participants therefore stated that they did not know how to lodge a dispute regarding their appraisal. This is a point of concern. It shows that there is a need for more knowledge on matters relating to PMDS.
- o. Seventy-four per cent of the participants indicated that their subgroup was motivated for service delivery when they perform their duties. While 22 per cent of the participants held the opposite view, four per cent of the participants were uncertain. The need to have a service delivery orientated attitude arises from the *Batho Pele* principles. Due to this, a substantial percentage of the participants agreed that they were inspired by the need to deliver a service.
- p. Eighty-one per cent of the participants stated that they knew how their job linked to the DHA mandate, but seven per cent of the participants did not know. Eleven per cent of the participants were uncertain. A substantial percentage of the participants indicated that they knew how their job fitted into the mandate of DHA. According to the literature, this is a prerequisite; each job must in one way or another advance the interest and objectives of the organisation which employs persons.
- q. Forty-eight per cent of the participants indicated that they knew the policy framework for PMDS. Forty-four per cent of the participants indicated that they did not know the policy frame work. Seven per cent of the participants were uncertain. This means that there is partial knowledge of the PMDS framework. The results derived from this question show that there is a need for more knowledge on matters relating to PMDS.

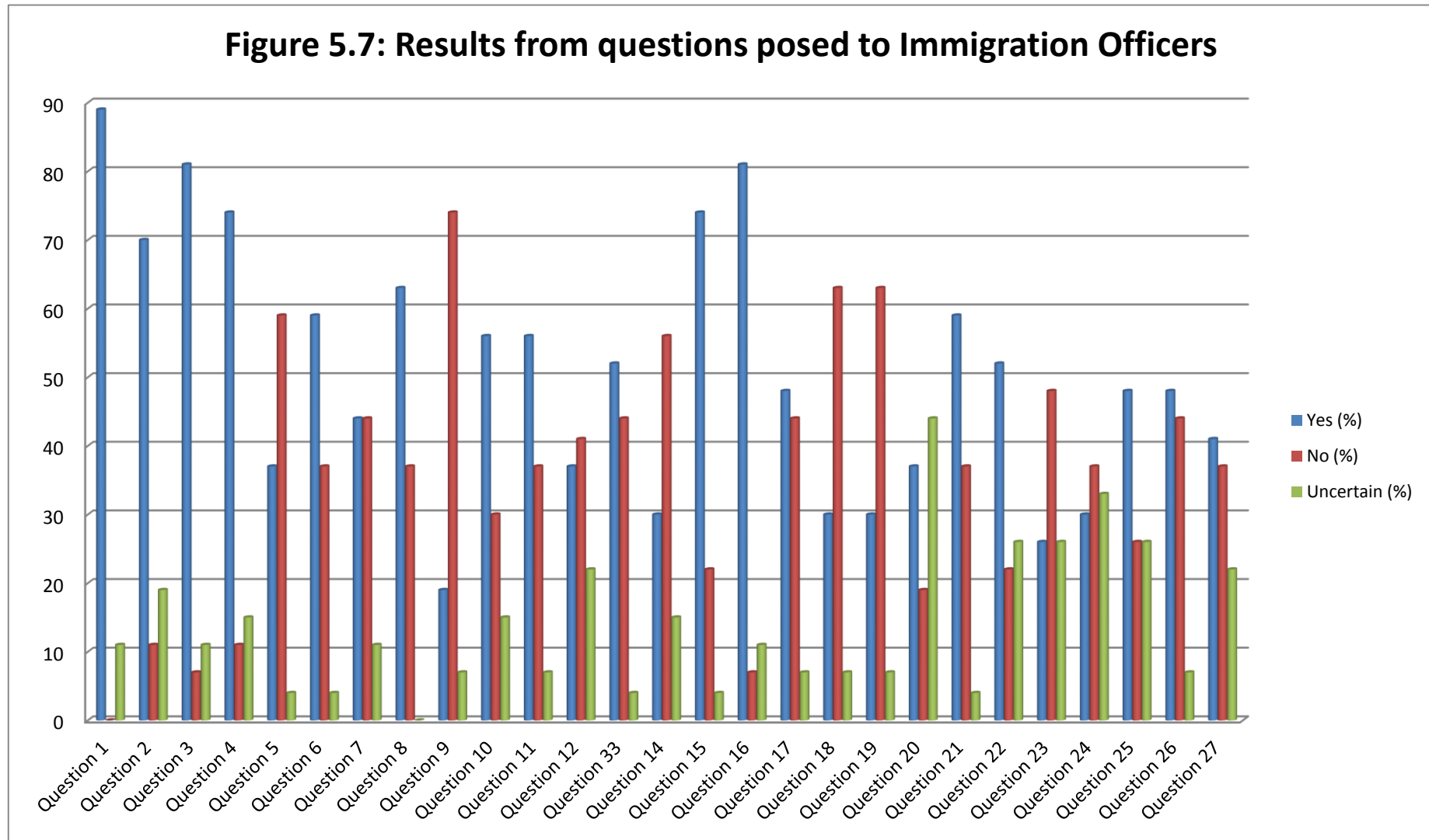
- r. Thirty per cent of the participants stated that they were being appraised regularly, and that they always received constructive feedback. Sixty-three per cent of the participants disputed this and seven per cent of the participants were uncertain. The results acquired in this question serve as evidence that the appraisal of Immigration Officers is not done on a regular and continuous basis and that it is not always coupled with constructive feedback. The question posed was closely related to the question on whether performance appraisal was done solely to adhere to administrative directives. Over 60 per cent of participants supported the notion that performance appraisal was done solely to adhere to administrative directives.
- s. Thirty per cent of the participants indicated that they had received a performance bonus, while 63 per cent of the participants stated that they had not. Seven per cent of the participants were uncertain. A small number of participants stated that they had received a performance bonus. This is in line with the PMDS framework of DHA. The PMDS policy only allows for 1,5 per cent of the budget on salaries to be set aside for performance bonuses with the result not all employees can qualify for the bonus.
- t. Thirty-seven per cent of the participants indicated that their peers had received a performance bonus. Nineteen per cent of the participants stated that their peers had not received a performance bonus and 54 per cent of the participants were uncertain. The low number affirming that their peers had received a performance bonus is in line with the PMDS framework of the DHA. The PMDS policy only allows for 1,5 per cent of the budget on salaries to be set aside for performance bonuses and as a result not all employees can qualify for the bonus.
- u. Fifty-nine per cent of the participants indicated that they always received the 1 per cent pay progression following the assessment period, but 37 per cent of the participants held the opposite view. Four per cent of the participants were uncertain. A significant number of participants therefore stated that they always get the 1 per cent pay progression. The question related to the generalisation of performance during the assessment periods. The number of positive responses given serve as evidence that generalisation occurs when employees are appraised.
- v. Fifty-two per cent of the participants indicated that their peers always get the 1 per cent pay progression after the assessment period. Twenty-two per cent of the participants disagreed. Twenty-six per cent of the participants were uncertain. A significant number of participants stated that their peers always get the 1 per cent pay progression. The question related to the generalisation of performance during the

assessment periods. The number of positive responses given serve as evidence that generalisation occurs when employees are appraised.

- w. Twenty-six per cent of the participants indicated that they and/or their peers received a higher appraisal score on the basis of a factor or factors not included in the performance agreement. Forty-eight per cent of the participants stated that they have not. Twenty-six per cent of the participants were uncertain. The question related to the presence of an error referred to bias. Twenty-six per cent of the participants stated that it was an error which they had experienced. A greater portion of participants stated that it had not occurred to them. Despite the low percentage of affirmative responses from participants, it has to be accepted that bias has occurred when Immigration Officers were appraised.
- x. Thirty per cent of the participants indicated that they and/or their peers received a higher or lower appraisal score on the basis of an impression given to a supervisor. Thirty-seven per cent of the participants indicated that they had not witnessed it. Thirty-three per cent of the participants were uncertain. The question related to the presence of an error referred to as halo effect. The question was not specific; it did not indicate whether the halo effect was in a negative or positive form. Thirty per cent of the participants indicated that the error of halo effect occurs when Immigration Officers are appraised.
- y. Forty-eight per cent of the participants indicated that their subgroup is allocated more or less the same ratings. Twenty-six per cent of the participants stated that this was not the case in their group. Twenty-six per cent of the participants were uncertain. The question related to the presence of an error referred to as central tendency. With forty-eight per cent of the participants indicating that it was occurring, the answers given support the view that there is a generalisation of performance when performance appraisals are being done.
- z. Forty-eight per cent of the participants indicated that they have allocated themselves a rating above 3 in the absence of evidence or a portfolio of evidence. Forty-four per cent of the participants stated the opposite and seven per cent of the participants were uncertain. The question sought to test whether there is adherence to the requirement in the PMDS policy that ratings above 3 must be supported by a portfolio of evidence for such ratings. According to the results and the PMDS policy of the DHA, most Immigration Officers are over appraising themselves. This is a source of leniency. The question, to a greater extent, sought to determine whether or not leniency as a form of

error was occurring. In line with the results which are still to be presented (Question 22 of the survey on Control Immigration Officer) leniency occurs when Immigration Officers are being appraised.

- aa. Forty-one per cent of the participants indicated that their ratings were awarded to them on the basis of their recent performance. Thirty-seven per cent of the participants held the opposite view. Twenty-two per cent of the participants were uncertain. The question related to the presence of an error referred to as primary or recency effect. The majority of participants stated that an error of recency effect was occurring when Immigration Officers were being appraised.



**Figure 5.7: Results from questions of the survey for Immigration Officers**

## 5.7 Results and analysis of the survey administered to Control Immigration Officers

Nine Control Immigration Officers participated in the study. Figures and analyses are presented in percentage format. The percentages were converted to the highest decimal; any decimal below 5 was converted to zero and any decimal above 4 was converted to 1. Figure 5.8 presents answers given by Control Immigration Officers in the administered survey.

The results are presented below. The presentation of answers derived from each question is followed by an analysis of the specific result. The sequence of the answers follows the one found in Appendix D, Ms seq 5 to 30. In relation to Questions 1 to 26, the following can be stated:

- a. All supervisors stated that they could differentiate good performance from poor performance. This was an expected outcome. Each supervisor is expected to be capable of advancing the interests of the employer. Supervisors are further expected to address poor performance, in such a manner that the employer gets value for money or, if such mechanisms fail, that the employer can discharge the poor performing employee.
- b. Eighty-nine per cent of the participants stated that they rewarded good and exceptional performance during the assessment. Eleven per cent of the participants stated that they were uncertain. As representatives of the employer, they are expected to do so, hence a high percentage of the participants stated that they reward good and exceptional performers. The given rewards foster a culture of exceptional performance.
- c. Sixty-seven per cent of the participants stated that their subordinates were mostly rated at 3. Twenty-two per cent of the participants held the opposite view. Eleven per cent of the participants were uncertain. This question related to generalisation of the appraisal of Immigration Officers. A majority of participants agreed that 3 was a common rating. The responses given to this question serve as evidence that there is generalisation when the performance of Immigration Officers is assessed.



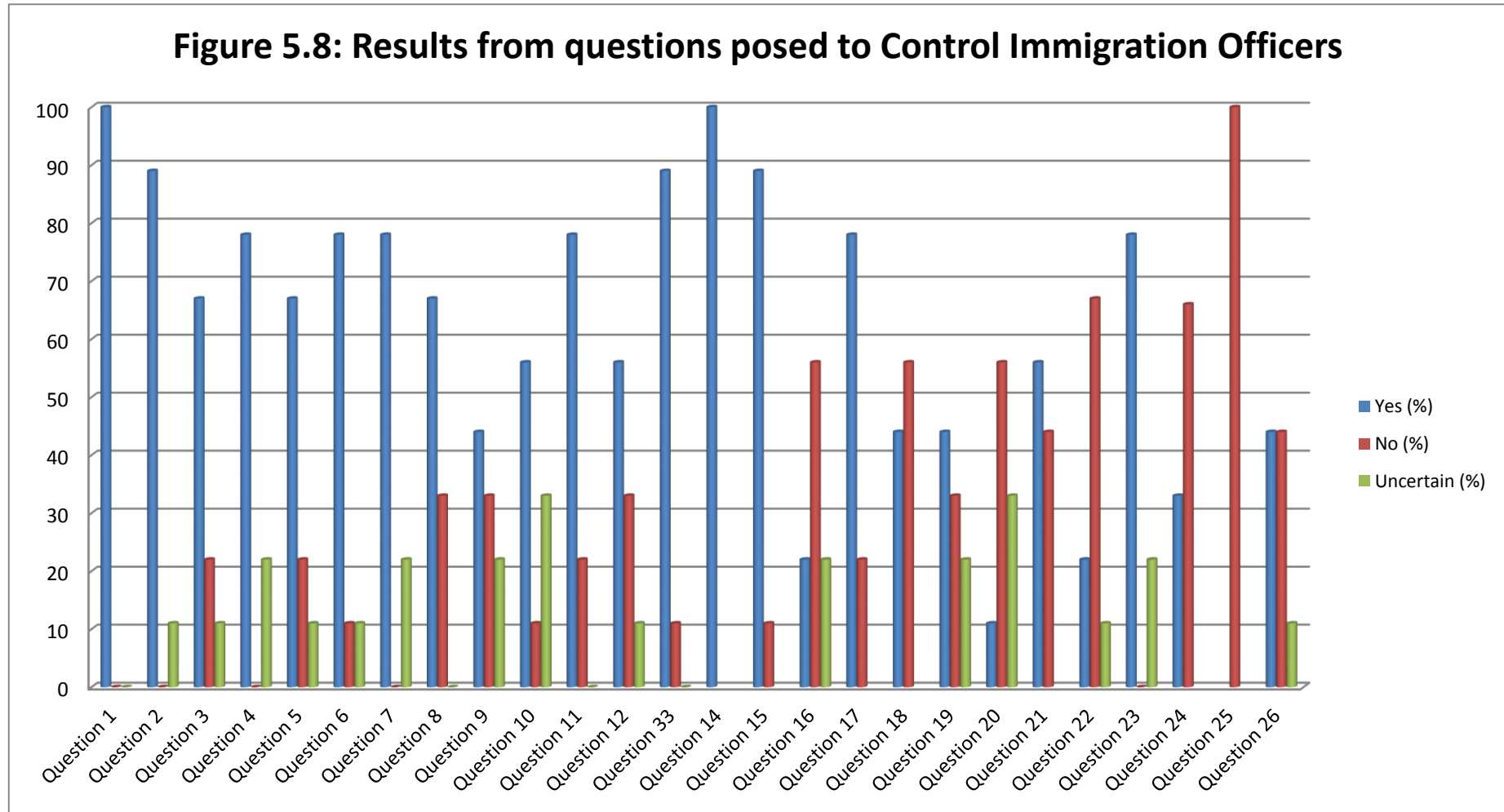
- d. Seventy-eight per cent of the participants stated that they knew the policy framework for addressing poor performance, but twenty-two per cent of the participants entered an uncertain response. There is an acceptable volume of knowledge when it comes to addressing poor performers. Despite this, there is room for getting all supervisors on par.
- e. Sixty-seven per cent of the participants stated that they had addressed poor performance. Twenty-two per cent of the participants had not. Eleven per cent of the participants were uncertain. According to the responses given to this question, the greater number of supervisors maintained a discipline-orientated attitude.
- f. Seventy-eight per cent of the participants stated that their disciplinary intervention yielded positive results. Eleven per cent of the participants stated that it did not and another eleven per cent of the participants gave an uncertain response. From a theoretical perspective, correcting of poor performance should yield positive results.
- g. Seventy-eight per cent of the participants stated that their intervention yielded negative results. Twenty-two per cent of participants were uncertain. When the author assessed the responses to this question and the previous two, two possible explanations came to mind. One, the participants did not comprehend the questions. Two, the participants were not completely truthful.
- h. Sixty-seven per cent of the participants stated that their subordinates had a personal development plan (PDP). Thirty-three per cent of the participants stated that they did not. From the results given it can be assumed that the PDP is not effectively utilised with the result that the use of the performance appraisal as a developmental tool is neglected. In Chapter 3, the author discussed the PDP as part of the performance agreement.
- i. Forty-four per cent of the participants stated that the PDP is used effectively, while thirty-three per cent of the participants had the opposite view and twenty-two per cent of the participants were uncertain. The responses do not amount to a conclusive response. However, they support the view that the PDP is not utilised effectively; as a result, the use of the performance appraisal as a developmental tool is neglected. When the author assessed the performance agreement of Immigration Officers of IMS at O R Tambo International Airport, it was shown that the performance agreement makes provision for a PDP.

- j. Fifty-six per cent of the participants stated that their subordinates' PDPs were in line with plans from the Human Resources Development Directorate (HRDD). Eleven per cent of the participants held the opposite view and thirty-three per cent of the participants were uncertain. The given responses supported the fact that the PDP must be in line with plans from the HRDD. The uncertain responses show that there is a vacuum related to knowledge of the DHA PMDS policy framework and the utilisation of the performance appraisal process to develop the skills and abilities of Immigration Officers stationed at IMS, O R Tambo International Airport.
- k. Seventy-eight per cent of the participants stated that they witnessed productivity following assessing their subordinates; in this instance productivity related to the effective, economic and efficient use of both human and nonhuman resources. Twenty-two per cent of the participants held the opposite view. There is a general understanding that the appraisal of employees must be followed by witnessed changes. The question related to some objectives of assessing the performance of employees. The objectives related to this question involved the effective, economic and efficient use of both human and nonhuman resources.
- l. Fifty-six per cent of the participants stated that service delivery is a motivational factor in the performance of their subordinates. Thirty-three per cent of the participants held the opposite view. Eleven per cent of the participants were uncertain. A majority of participants agreed that service delivery was a motivating factor. This is in line with the policy framework for the PMDS. One of the objectives of introducing and implementing PMDS is to increase service delivery. The responses given to this question support the realisation of the objective of service delivery.
- m. Eighty-nine per cent of the participants stated that they appraise their subordinates willingly and regularly. Eleven per cent of the participants held an opposite view. A high percentage of the participants therefore acknowledged doing regular appraisals. The question posed was closely related to the question on whether performance appraisal is done solely to adhere to administrative directives. More than ten per cent of participants supported the notion that performance appraisal is done solely to adhere to administrative directives.

- n. All participants stated that their decision to appraise Immigration Officers was linked to the compulsory submission of PMDS ratings. This question was asked to see whether supervisors appraise subordinates due to administrative directives. The response given proves that this is so. At the same time it casts doubt on the majority view witnessed in responses to the previous question. The minority view from the previous question is supported by the 100 per cent view in the current question.
- o. Eighty-nine per cent of the participants stated that they hold performance interviews with their subordinates. Eleven per cent of the participants stated that they did not. According to the results derived from this particular question, the majority of participants are conforming to the PMDS policy framework for the holding of performance interviews. However, it should be noted that forty-four per cent of Immigration Officers stated that they did not hold performance interviews. It may be questioned whether the 89 per cent of affirmative answers acquired from the current question is a true reflection of the status regarding conducting performance interviews.
- p. Twenty-two per cent of the participants stated that they give written feedback to their subordinates after moderation. Fifty-six per cent of the participants held the opposite view. Twenty-two per cent of the participants indicated uncertain as their response. The results obtained prove a breach regarding the PMDS policy framework regarding the giving of written feedback to those who had been assessed. The high percentage of participants who do not give written feedback to their Immigration Officers showed a need for more knowledge on matters relating to PMDS.
- q. Seventy-eight per cent of the participants stated that their subgroup always received the 1 per cent pay progression following the assessment period. Twenty-two per cent of the participants held the opposite view. This question was largely related to generalising performance. The huge margin seen in results proves that there is generalisation of performance when Immigration Officers of IMS at O R Tambo International Airport are being appraised.
- r. Forty-four per cent of the participants stated that someone in their subgroup received a performance bonus. Fifty-six per cent of the participants held the opposite view. This is in line with the policy framework on granting performance bonuses. The performance bonus is not meant for every employee. It is meant for those who are top achievers. And it is granted to a limited number of employees.

- s. Forty-four per cent of the participants stated that they had awarded their subordinates a higher appraisal score on the basis of a factor or factors not included in the performance agreement. Thirty-three per cent of the participants held an opposite view, while twenty-two per cent of the participants were uncertain. The question related to the presence the error of bias. According to the results, bias is present when Immigration Officers are appraised.
- t. Eleven per cent of the participants stated that they have awarded a higher or lower appraisal score on the basis of an impression given by a subordinate. Fifty-six per cent of the participants held an opposite view and thirty-three per cent of the participants were uncertain. The question related to the presence of an error termed halo effect. The question did not specify whether the halo effect was occurring in a negative or positive form. Despite the low percentage, halo effect is viewed as an occurring error.
- u. Fifty-six per cent of the participants stated that their subordinates were more or less allocated the same ratings. Forty-four per cent of the participants held the opposite view. The question related to the presence of the error of central tendency. There was strong evidence of its occurrence. This question also related to the generalisation of performance during appraisal. The responses given provided evidence that performance is generalised during the performance assessment.
- v. Twenty-two per cent of the participants stated that they had allocated their subordinates a rating above 3 in the absence of evidence or a portfolio of evidence. Sixty-seven per cent of the participants held an opposite view. Eleven per cent of the participants were uncertain. The question related to the presence of an error referred to as leniency. The results prove that leniency occurs on a small scale when Immigration Officers are appraised.
- w. Seventy-eight per cent of the participants stated that the ratings awarded to their subordinates were based on their recent performance. Twenty-two per cent of the participants were uncertain. The question related to the presence of the error of primary effect. The responses that were obtained provided conclusive proof that the primary effect occurs when Immigration Officers are appraised. The responses to this question therefore discredit the answers given to Question 13 and affirm the view presented in responses to Question 14. The appraisal of Immigration Officers is done primarily to discharge the administrative burden imposed through the required regular submission of performance assessments.

- x. Thirty-three per cent of the participants stated that they had rated nondeserving subordinates as average. Sixty-seven per cent of the participants stated that they had not. The question was related to the presence of the error referred to as politics. There is proof that this occurred. The question also related to the generalisation of performance. The answers given served as evidence that performance was generalised during the appraisal.
- y. All participants stated that they had not rated their subordinates higher because it had an impact on how they were viewed or appraised. The question related to the presence of the error of impression management. The results show that this had not occurred.
- z. Forty-four per cent of the participants stated that they had rated their subordinates on the basis of their performance during a previous financial year. Forty-four per cent of the participants held the opposite view. Eleven per cent of the participants were uncertain. The question related to the presence of the error of effect of past record, a form of halo effect. According to the results, a halo effect referred to as effect of past record occurred when Immigration Officers were being appraised. The error occurred due to lack of objectivity on the part of the supervisor. The results are related to the generalisation of performance. As the results showed that results from the previous performance cycle were replicated, there was evidence of generalisation in the performance assessment of Immigration Officers.



**Figure 5.8: Results from questions of the survey for Control Immigration Officers**

## 5.8 Conclusion

In this chapter the author has presented the empirical component of the study. The research design (what) was identified and the methodology (how) was introduced. The population was introduced and was scaled down to a sample. The author presented and analysed the results of the empirical component.

The author introduced a survey as an identified and preferred tool in addressing the issues of generalisation in the appraisal of Immigration Officers stationed at IMS, O R Tambo International Airport; adherence to administrative directives as a motivating factor for the performance appraisal of Immigration Officers; the identification of appraisal errors when Immigration Officers stationed at IMS, O R Tambo International Airport, are appraised; and the value of the appraisal process (evaluative and or developmental). The author showed how the survey was administered and how ethical considerations are accounted for when the survey was administered.

There is evidence supporting the view that generalisation of performance occurs when Immigration Officers of the DHA at IMS, O R Tambo International Airport, are assessed. The evidence acquired from the results of the survey proves that assessments are done for the sole purpose of adhering to administrative directives. There is evidence that casts doubt on the use of performance appraisal for evaluative and/or developmental purposes.

## CHAPTER 6

*Summary, means to improve the performance appraisal of Immigration Officers of the Department of Home Affairs (DHA) at O R Tambo International Airport and closing remarks*

### 6.1 Introduction

The research on performance appraisal sought to determine whether performance appraisal of Immigration Officers was generalised; whether it was done to adhere to administrative directives; to determine whether the appraisal of Immigration Officers of IMS, O R Tambo International Airport, suffered from errors experienced in the appraisal of employees; and whether the performance appraisal of Immigration Officers had any evaluative and/or developmental value. The author found evidence of the presence of generalisation of performance of Immigration Officers; conclusive proof that the performance appraisal of Immigration Officers is done for the sole aim of adhering to administrative directives; that errors are experienced when the appraisal process is conducted and that it is doubtful whether the appraisal of Immigration Officers has any evaluative and developmental value.

As this is the final chapter of the study, it is essential to provide a summary of the preceding chapters. The author will also identify challenges that were experienced and make recommendations based on identified shortcomings. The conclusion of the chapter will bring to an end the research done to assess the performance appraisal for Immigration Officers of the DHA at IMS, O R Tambo International Airport.

### 6.2 Summary of the preceding chapters

Chapter 1 served as the foundation to the research. It introduced the research, the research problem and objectives, the research design and the manner in which the research reported in the chapters would unfold. It was shown that, prior to the introduction of the performance appraisal, there had to be an entity, in the form of an organisation with goals and objectives to attain. In order to realise the desired goals and objectives, an organisation needed both human and nonhuman resources.



It is essential for any organisation to manage its resources. One of the management strategies is performance appraisal of personnel. The DPSA has made it mandatory to have a PMDS framework and to assess employees according to the prescribed schedules. This is reinforced by the notion of NPM. The DHA as an organ of state adheres to this and has developed a PMDS policy to comply with the DPSA requirements.

The problem statement for the research related to generalisation of performance of Immigration Officers of IMS at the O R Tambo International Airport. The research also sought to determine whether Immigration Officers were appraised merely to adhere to administrative directives and to determine whether errors occurred when Immigration Officers were appraised. It also sought to determine whether performance appraisal was used for evaluative and/or developmental reasons.

In addressing the concerns mentioned above, the author used a non-empirical and an empirical component. The non-empirical component consisted of literature, statutes, regulations, DPSA directives and the use of the DHA and DPSA websites and the DHA policy on PMDS and its guidelines. The empirical component consisted of two surveys, one for Immigration Officers and another for Control Immigration Officers.

Chapter 2 was aimed at introducing IMS OR Tambo International Airport as a component of DHA. DHA has two core branches. Civic Services and IMS are the two major branches. IMS OR Tambo International Airport as part of IMS does the function administering admission into the country and Inspectorate.

The author showed where IMS OR Tambo International Airport fits in the organogram of DHA. The author gave a structural breakdown of IMS OR Tambo International Airport. The roles of IMS OR Tambo International Airport were introduced. In assisting DHA to meet its mandate it does the following duties: clear passengers, refuse entry to those who do not meet entry requirements, issue administrative fines, declare people as undesirable, arrest and detain illegal foreigners, deport illegal foreigners and collect revenue from airlines.

Chapter 3 was aimed at giving a literature review on performance. In introducing the performance appraisal, the author discussed a contract of employment. The contract is the basis of the employer-employee relationship. It places duties and responsibilities on both parties. One of the duties of the employer is to set a performance agenda, often referred to as a performance agreement.

The agenda determines what is to be achieved, when it must be achieved and how it must be achieved. In order to determine whether employees are doing what they are hired to do, the employer needs to perform performance assessments. By doing this, the employer enhances effectiveness, efficiency and economy in the use of resources.

The author differentiated between performance management and performance appraisal. Performance management is concerned with the performance of an organisation as a whole. Performance appraisal is concerned with the individual employee and how well he or she meets targets set in the performance agreement.

The author explored reasons associated with appraising employees. The two dominant reasons are to evaluate the performance of an employee and to develop his or her competencies. Other authors view it as a means of communication between an employer and an employee. Others view it as a means to increase effectiveness, efficiency and economy.

Criteria used in the appraisal of employees were introduced. Such criteria may be trait-based, behaviour-based and outcome-based. It is possible to combine these criteria in assessing employees.

Methods of appraising employees were introduced. Each method of appraising employees is preceded by an operational goal and objectives. Methods of appraising employees include the following: work standards, category rating, the comparative method, the narrative method, the behavioural or objective method and a combination method.

Errors which can be experienced during the appraisal of employees were identified. These include the errors of rater bias, halo effect, central tendency, leniency, strictness, primary effect and overall rating. The following errors were found to be occurring when Immigration Officers of IMS, O R Tambo International Airport, were being appraised: bias, halo effect, central tendency, leniency, primary effect, politics and a halo effect called effect of past record. The error of impression management was not found.

Views on means to increase effectiveness and address poor performance were discussed. ARCHIEVE as a strategy to increase effectiveness and the use of technology as a means to improve performance were introduced. Logging in and keeping a record of the work done are part of the use of computers in the assessment of performance. The use of camera surveillance, often in the form of close circuit television, is another avenue which can be used to foster effectiveness and motivating employees could be a way of keeping them productive.

The preceding paragraph dealt with effectiveness. Poor performance needs to be improved. In improving poor performance, the DHA PMDS guidelines are to be used. The guidelines provide for a PIP. The failure of improving one's performance can lead to the termination of the employer-employee contract by the employer through the use of disciplinary mechanisms.

It was shown that the appraisal of employees can lead to litigation. An employee has to prove that there was unfair labour practice as defined in the Labour Relations Act, Act 66 of 1995. The following acts or omissions are viewed as unfair labour practices:

- Unfair discrimination on the basis gender, sex, colour, sexual orientation, social origin, disability, *et cetera*.
- Unfair conduct by the employer pertaining to granting of benefits, promotions, training, demotion, *et cetera*.
- Failure to reinstate an employee in terms of an agreement.
- Unfair suspension of an employee.

Chapter 4 introduced the regulatory framework affecting performance appraisal. It included the assessment of the performance agreement. Statutory regulation included the following statutes: the Access to Information Act, the Promotion of Administrative Justice Act, The Employment Equity Act, the Basic Conditions of Employment Act, the Skills Development Act, the Labour Relations Act, the Public Finance Management Act and the Public Service Act. All these statutes and other forms of the regulatory framework are superseded by The Constitution of the Republic of South Africa.

The following regulations apply in the performance of Immigration Officers: The Public Service Regulations, 2001 and The National Treasury Regulations No 27388. The DPSA circular 2 of 2007 applies in the performance appraisal of Immigration Officers.

A performance agreement is a contract. It binds the employer and the employee. Its effectiveness is brought into effect by the signing of the agreement by the concerned parties (employer and employee). In the instance that an official disputes entering into an agreement despite his or her signature, the doctrine of *caveat subscriptor* can be used to compel him or her to do what he or she signed for.

An assessment of the performance agreement of IMS Immigration Officers was done. The assessment was done in line with the DHA policy on PMDS and the guidelines issued in line with the policy. The assessment showed that the performance agreement to a large extent conformed to the PMDS policy. Sections that complied partially or failed to comply will be identified and suggestions or their rectification will be made in this chapter as recommendations.

Chapter 5 addressed matters relating to the empirical component of the study. In differentiating research design from research methodology, the two terms ‘what’ and ‘how’ express the essential questions. The ‘what’ relates to the design and the ‘how’ relates to methodology.

The ‘what’ was addressed in the part of this study dealing with the research problem and the objectives. The design was centred on investigating adherence to administrative directives; generalisation of performance; errors occurring during the appraisal period; and the use of performance appraisal for evaluative and or developmental purposes.

In addressing the ‘how’ part on the empirical component, two survey questionnaires were developed. The two surveys were interrelated. One was administered to Immigration Officers and the other was administered to Control Immigration Officers. The survey questionnaire for Immigration Officers comprised 27 questions which elicited one of three possible views. The views were positive, negative and uncertain. The survey questionnaire for Control Immigration Officers had 26 questions that elicited responses like those for Immigration Officers.

The results of the empirical component established the following, in relation to the research design:

- There is evidence of generalisation of performance.
- All participants with the rank of Control Immigration Officer acknowledged that they appraise the subordinates on the basis of adhering to administrative directives.
- The use of performance appraisal as a tool to evaluate performance and develop employees is questionable.
- There are errors which occur when Immigration Officers are being appraised.

### **6.3 Recommendations**

The recommendations that are made are based on identified problems. A problem will be stated first, and will be followed by a recommendation. The problems and their recommendations are as follows:

- a. There are Immigration Officers do not view a performance agreement as a binding contract. The author recommends that Control Immigration Officers hold a performance meeting with each Immigration Officer at the beginning of each performance cycle or as and when new Immigration Officer are appointed or redeployed to their field. They must explain what a performance agreement entails, why it has to be concluded and the effect of the conclusion of the performance agreement.

- b. There are Immigration Officers who stated that they did not sign the performance agreement voluntarily. The author recommends that the performance agreement must be seen as part of an employment contract. The recruitment section must include this view when employees join the DHA. If this is done, no one would be able to claim having signed a performance agreement under duress. It is essential to stress that the performance agreement and all governance derived from the DPSA is binding on each government employee employed in a national or provincial sphere of government. Supervisors must explain the doctrine of *caveat subscriptor* to each subordinate.
- c. The value of the role of performance appraisal as a developmental tool is questionable. The author recommends that IMS at the O R Tambo International Airport undertakes a needs analysis regarding courses related to service delivery in the IMS component. The analysis must also include the identification of relevant service providers with whom the DHA should conclude service level agreements (SLAs). The analysis will identify relevant courses and supervisors should, on the basis of the analysis, nominate individual Immigration Officers to attend courses according to their strengths and weaknesses. The developmental needs of an employee must be duly noted on the PDP and account must be given to the moderation committee of the achievement or non-achievement of success in meeting such needs during the performance moderation period. The supervisors should do an impact analysis after the conclusion of development-orientated training; this will assist in determining whether targets are met or not fulfilled. If the latter is the case, the identified shortcomings need to be addressed.
- d. A limited amount of participants stated that they have been sent on developmental courses. Increasing the number of participants in developmental courses has an impact on service delivery. The author recommends for contingency measures to be put in place when Immigration Officers attend developmental courses. These measures include the approval of overtime and the reinforcement of personnel by administrative personnel or core personnel from nearby areas.

- e. The results showed that there were instances of performance interviews not being conducted. The author recommends developing a form detailing when the interview was held, what time the interview was commenced, what the interview was about and what conclusion was reached. This will assist in giving better feedback to employees. It has been shown that regular appraisal and feedback lead to better performance. At the end of the proposed form both the employee and the supervisor must sign and record the date and time when the interview was concluded.
- f. The results showed that there are Immigration Officers who do not know how to lodge a dispute regarding the scores they received during assessment. This may be attributed to the vagueness of the performance agreement and lack of knowledge of the DHA policy framework for PMDS and may be remedied by clarifying the process in the performance agreement or giving a clear indication of which provision of the PMDS policy apply to disputes related to the appraisal process. There is a need for easy access to the DHA PMDS policy framework; further details as to how this shortcoming can be addressed is mentioned in the next point.
- g. There were indications of a lack of knowledge of the DHA PMDS framework. The author recommends holding a workshop on the DHA PMDS policy framework. The contents of the workshop must be packaged in a booklet. There must be an intranet link to the PMDS policy framework on the DHA website. There link must also allow access to the DPSA website, specifically with regard to PMDS in the public service.
- h. There is evidence that Immigration Officers are not appraised regularly and are not given constant feedback. The author recommends that a culture of regular appraisal and giving constant feedback be encouraged. The recommendation that was made on the absence of regular performance appraisal interview applies *mutatis mutandis*.
- i. Numerous errors were identified as occurring when Immigration Officers of IMS at O R Tambo International Airport were being appraised. The noted errors include bias, halo effect, central tendency, leniency, primary effect, politics and effect of past record. The author recommends that rater training be conducted. The training must cover the type of errors experienced during the appraisal process; how they can be avoided; and the management of poor performers.

- j. There is evidence of the ineffective use of the personal developmental plan (PDP). Recommendations made in relation to the use of performance appraisal as a developmental tool apply *mutatis mutandis*. There is a need for the Human Resources Development Directorate to be part of the development and implementation of a PDP.
- k. There is evidence to prove instances of Immigration Officers appraising themselves above 3 in the absence of a portfolio of evidence. According to the PMDS policy framework this is viewed as over appraisal and is an indication of the inability to compile a portfolio of evidence which can be addressed during a workshop. The workshop must introduce a theoretical guide on how to compile a portfolio of evidence. Such guidelines can be referred to by Immigration Officers when they complete the portfolio of evidence. It is further recommended that such a portfolio of evidence must not consist of the Immigration Officer's most recent performance; it must be a true depiction of what the Immigration Officer has been able to achieve during the appraisal performance cycle.
- l. From the results of the survey involving Control Immigration Officers it was clear that the appraisal of Immigration Officers is done primarily to adhere to administrative directives. The author recommends that the performance assessment of Immigration Officers must be a role given to supervisors in clear terms in their performance agreements. The recommendation on the absence of regular appraisal and feedback applies *mutatis mutandis* to this issue.
- m. There was evidence of the error of primary effect occurring when Immigration Officers of IMS at O R Tambo International Airport were being appraised. The author recommends that there must be a change in the behaviour of those who are appraised and those who are appraising others. All of them must know why performance assessments are done and how they are done.

On assessing the performance agreement, the author identified matters not in compliance with the DHA PMDS policy framework. The author will identify and make recommendations on these shortcomings. The following were identified as shortcomings:

- a. The performance agreement does not indicate the ratio between KRAs and GAFs. The author recommends that the agreement should be clear about the fact that the weight ratio is 80:20. KRAs contribute 80 per cent and GAFs 20 per cent towards the final score of the performance assessment.



- b. The performance assessment framework in the agreement is not conclusive. The author recommends that the agreement should state that the DHA PMDS policy framework is part of the performance agreement or should include the performance assessment framework in its totality in the performance agreement.
- c. The inclusion of people management and empowerment as one of the GAFs is problematic. The author recommends that the GAFs be removed because Immigration Officers constitute the lowest rank in an operations environment and therefore cannot empower anyone. The author recommends that team work be utilised in the place of people management and empowerment. This is a more relevant GAF because Immigration Officers work in a team. The more individuals work in a team format, the more effective, efficient and economic they will be.

## **6.4 Conclusion**

No institution can meet its desired goals in the absence of human resources. Each institution must ascertain that each job assists in reaching its goal. In order to be effective, economic and efficient, an organisation has to manage the performance of its employees.

The starting point of managing performance is the conclusion of a performance agreement. The agreement is a yardstick for assessing performance. The assessment of performance is called performance appraisal. Performance appraisal can determine whether targets are met or not met.

In the instance of performance being satisfactory, an employee may be awarded a performance bonus and/or a pay progression. In the instance of the performance being poor, the employer should draft a PIP and discuss it with the relevant employee. If performance does not improve, the contract of employment may be terminated through disciplinary proceedings.

This chapter was aimed at closing the research on the performance appraisal of Immigration Officers stationed at IMS OR Tambo International Airport. A summation of the preceding four chapters has been given. Numerous challenges were identified and the author has made recommendations for the improvement of the appraisal of Immigration Officers of IMS at O R Tambo International Airport on the basis of these challenges.

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496 Block T  
Soshanguve  
0152  
16 April 2014

Mr S. Maphumulo  
The Director: ORTIA IMS  
Private Bag X 1162  
Kemptonpark  
1627

Dear Sir

**REQUEST TO CONDUCT RESEARCH ON THE PERFORMANCE MANAGEMENT  
OF IMMIGRATION OFFICERS AT OR TAMBO INTERNATIONAL AIRPORT**

1. I am Matthews Eddie Nkuna. I am registered for a Master degree at the University of Stellenbosch (see MEN 1). My student number is 15582787. I have registered a structured Masters and in order to be granted the degree I must complete a mini thesis, worth 90 credits.
2. I concluded modules which require written exams in the year 2013 (see MEN 2). I have written a research proposal titled **“AN ASSESSMENT OF THE PERFORMANCE APPRAISAL FOR IMMIGRATION OFFICERS OF THE DEPARTMENT OF HOME AFFAIRS AT OR TAMBO INTERNATIONAL AIRPORT”** (see MEN 3).
3. The proposal was approved on 21 October 2013 (see MEN 4). In accordance with the regulations of the university I must complete the degree prior to November 2014.
4. The chosen topic has an empirical element. As a result I will need assistance from Immigration Officers, their immediate supervisors and the management of OR Tambo International Airport Immigration Management Services. The assistance will consist of surveys,

discussion groups and interviews on The Performance Management and Development System (PMDS) and surrounding issues.

5. The research is vital to bring a better comprehension of the PMDS. It will also be a good tool which can be used have a better to theoretical and practical comprehension on performance management.

6. I hereby request to be granted permission to conduct research related activities with the aid of Immigration Management Services personnel. Your approval of my request will be greatly appreciated.

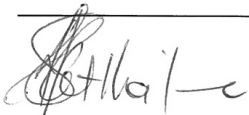
Yours faithfully

Matthews Eddie Nkuna



**REMARKS BY DEPUTY DIRECTOR INSPECTORATE:**

RECOMMENDED



**MRS P.I. KETHOILWE**

**DEPUTY DIRECTOR INSPECTORATE: ORTIA**

**DATE:**

**REMARKS BY DEPUTY DIRECTOR OPERATIONS:**

Strongly recommended



**MR H. DE VOS**

**DEPUTY DIRECTOR OPERATIONS: ORTIA**

**DATE:** 25/02/2015

**CONFIDENTIAL**

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DECISION BY DIRECTOR IMS ORTIA:

HIGHLY RECOMMENDED



MR S. MAPHUMULO

DIRECTOR IMS: ORTIA

DATE: 2014/05/05

CONFIDENTIAL

4 | Page

**Enquiries:** Mr M.E. Nkuna

**Cell number:** 072 5911 405

**Email:** [nkuna-mavutane@hotmail.com](mailto:nkuna-mavutane@hotmail.com)

**Date:** 20 June 2014

**University Coordinator**

**Ref:** Ms A. Burger

**Tel:** 021 918 4412

**Fax:** 021 918 4123

**Email:** ab5sun.ac.za

### **Informed Consent**

**TITLE OF STUDY: AN ASSESSMENT OF THE PERFORMANCE APPRAISAL FOR IMMIGRATION OFFICERS OF THE DEPARTMENT OF HOME AFFAIRS AT OR TAMBO INTERNATIONAL AIRPORT**

**Researcher:** Mr M.E. Nkuna, a student at the University of Stellenbosch: School of Public Management and Planning

1. **The purpose of the study:** The purpose of the study is to determine if the appraisal of Immigration Officers at IMS OR Tambo International Airport does not suffer from common errors in appraising employees and to determine if it is used to tell evaluative and developmental roles.

2. **Procedure:** I am requested to answer question in relation to the purpose of the study. Questions are posed in the format of a survey. I will indicate in the relevant box with a circle next to the appropriate number to indicate whether I agree, disagree or am uncertain in relation to each question posed. Prior to the survey I will provide the requested bio data, in the same format as I will be answering the survey question. The data will solely be used for statistic purposes only and give no indication as to who I am.

3. **Risks and discomforts:** No known medical risks or discomforts exist in feeling the survey.

4. **Benefits:** No direct benefit will accrue to myself as a participant. However, the knowledge gained through my participation can be used to improve performance appraisal abilities at my working environment.
5. **Participant's rights:** I voluntarily participate in the study and may withdraw from participating in this study.
6. **Financial compensation:** No monetary reward will accrue from my participation in the study.
7. **Confidentiality:** The provided information will be kept confidential and will only be used for the purposes of the study and analysis coupled to it.
8. **Use of acquired data:** The acquired data will be for the sole use of the researcher and the University of Stellenbosch.
9. **Future use and storage:** The results will be kept by the researcher for a period of five years and they may be reused for follow-up studies.
10. **Concerns:** In the event of any concerns I will contact the researcher at the details provided above.

---

Participant's signature

---

Date

---

Researcher's signature

---

Date



**SECTION A: BIOGRAPHICAL DATA**

<b>1. Gender</b>		
a	Male	1
b	Female	2

<b>2. Race</b>		
a	African	1
b	White	2
c	Indian	3
d	Coloured	4
e	Other	5

<b>3. Highest Level of education</b>		
a	Matric	1
b	Post matric certificate	2
c	Diploma	3
d	Advanced Diploma	4
e	Degree	5
f	Honours Degree	6
g	Master's Degree	7
h	Doctoral Degree	8
i	Any other qualification not mentioned above	9

**SECTION B: SURVEY QUESTIONS RELATED TO PERFORMANCE APPRAISAL  
AT O R TAMBO INTERNATIONAL AIRPORT**

<b>Ms seq</b>	<b>Question</b>	<b>Agree (yes)</b>	<b>Disagree (no)</b>	<b>Uncertain</b>
4	Do you have a valid performance agreement with DHA?	<b>1</b>	<b>2</b>	<b>3</b>
5	Do you view a performance agreement as a binding contract between an employee and an employer?	<b>1</b>	<b>2</b>	<b>3</b>
6	Did you sign your performance agreement voluntarily?	<b>1</b>	<b>2</b>	<b>3</b>
7	Do you know the value of a signature in a performance agreement?	<b>1</b>	<b>2</b>	<b>3</b>
8	Do you view ratings awarded to you during the performance appraisal process as a true reflection of your performance?	<b>1</b>	<b>2</b>	<b>3</b>
9	Is 3 a common rating in your sub group?	<b>1</b>	<b>2</b>	<b>3</b>
10	Does your performance agreement indicate your developmental path?	<b>1</b>	<b>2</b>	<b>3</b>
11	Have you discussed your developmental needs with your supervisor?	<b>1</b>	<b>2</b>	<b>3</b>
12	Have you been sent on a developmental course?	<b>1</b>	<b>2</b>	<b>3</b>
13	Post being appraised, do you become more productive?	<b>1</b>	<b>2</b>	<b>3</b>
14	Post being appraised, do you use less resources to achieve your job goals and objectives?	<b>1</b>	<b>2</b>	<b>3</b>
15	In your view, does DHA reward poor and good performance in a similar manner?	<b>1</b>	<b>2</b>	<b>3</b>
16	Prior to the performance assessment finalisation do you hold a performance interview with your supervisor?	<b>1</b>	<b>2</b>	<b>3</b>
17	Do you know how to lodge a dispute about the assessment rating awarded to you?	<b>1</b>	<b>2</b>	<b>3</b>
18	Is your subgroup motivated by service delivery when it does its work?	<b>1</b>	<b>2</b>	<b>3</b>
19	Do you know how your job links to the DHA mandate?	<b>1</b>	<b>2</b>	<b>3</b>
20	Do you know the policy framework for PMDS?	<b>1</b>	<b>2</b>	<b>3</b>

## Appendix C-3

21	Is your performance appraised regularly, and is it coupled to constructive feedback?	<b>1</b>	<b>2</b>	<b>3</b>
22	Have you ever received a performance bonus?	<b>1</b>	<b>2</b>	<b>3</b>
23	Have any of your peers received a performance bonus?	<b>1</b>	<b>2</b>	<b>3</b>
24	Do you always get the 1% pay progression post the assessment period? The question excludes the probation duration.	<b>1</b>	<b>2</b>	<b>3</b>
25	Do your peers always get the 1% pay progression post the assessment period? The question excludes the probation duration.	<b>1</b>	<b>2</b>	<b>3</b>
26	Have you or any of your peers received a higher appraisal score on the basis of a factor or factors not included in the performance agreement?	<b>1</b>	<b>2</b>	<b>3</b>
27	Have you or any of your peers received a higher or lower appraisal score on the basis of an impression given to a supervisor?	<b>1</b>	<b>2</b>	<b>3</b>
28	Is your subgroup allocated more or less the same ratings?	<b>1</b>	<b>2</b>	<b>3</b>
29	Have you allocated yourself a rating above 3 in the absence of evidence or a portfolio of evidence?	<b>1</b>	<b>2</b>	<b>3</b>
30	Are the ratings awarded to you based on your recent performance?	<b>1</b>	<b>2</b>	<b>3</b>

**THANK YOU FOR YOUR PARTICIPATION. NDZI KHENSILE. KE A LEBOGO.  
NGI YA BONGA. NDI YA BULELA**

**SECTION A: BIO DATA**

<b>1. Gender</b>		
a	Male	1
b	Female	2

<b>2. Race</b>		
a	African	1
b	White	2
c	Indian	3
d	Coloured	4
e	Other	5

<b>3. Highest Level of education</b>		
a	Matric	1
b	Post matric certificate	2
c	Diploma	3
d	Advanced Diploma	4
e	Degree	5
f	Honours Degree	6
g	Master's Degree	7
h	Doctoral Degree	8
i	Any other qualification not mentioned above	9

<b>4. How long have you served in a supervisory or management position in the public sector?</b>		
a	0 to 2 years	1
b	2 to 5 years	2
c	5 to 10 years	3
d	More than 10	4

**SECTION B: SURVEY QUESTIONS RELATED TO PERFORMANCE APPRAISAL  
AT OR TAMBO INTERNATIONAL AIRPORT**

<b>Ms seq</b>	<b>Question</b>	<b>Agree (yes)</b>	<b>Disagree (no)</b>	<b>Uncertain</b>
5	Can you differentiate good performance from poor performance?	<b>1</b>	<b>2</b>	<b>3</b>
6	Do you reward good and exceptional performance during the assessment duration?	<b>1</b>	<b>2</b>	<b>3</b>
7	Are your subordinates mostly rated 3?	<b>1</b>	<b>2</b>	<b>3</b>
8	Do you know the policy framework for addressing poor performance?	<b>1</b>	<b>2</b>	<b>3</b>
9	Have you ever addressed a poor performer?	<b>1</b>	<b>2</b>	<b>3</b>
10	Did the address yield positive results?	<b>1</b>	<b>2</b>	<b>3</b>
11	Did the address yield negative results?	<b>1</b>	<b>2</b>	<b>3</b>
12	Do your subordinates have a personal development plan (PDP)?	<b>1</b>	<b>2</b>	<b>3</b>
13	If the answer before is answered in the affirmative, is the PDP used effectively?	<b>1</b>	<b>2</b>	<b>3</b>
14	If Ms seq 12 was answered affirmatively, is the PDP in line with plans from the Human Resources Development Directorate?	<b>1</b>	<b>2</b>	<b>3</b>
15	Post appraising your subordinates, do they become more productive (effective, economic and efficient)?	<b>1</b>	<b>2</b>	<b>3</b>
16	Is service delivery a motivational factor in the performance of your subordinates?	<b>1</b>	<b>2</b>	<b>3</b>
17	Do you appraise your subordinates willingly and regularly?	<b>1</b>	<b>2</b>	<b>3</b>
18	Is your decision to appraise linked to the compulsory submission of PMDS ratings?	<b>1</b>	<b>2</b>	<b>3</b>
19	Do you hold performance interviews with your subordinates?	<b>1</b>	<b>2</b>	<b>3</b>

20	Post moderation, do you give written feedback to your subordinates?	<b>1</b>	<b>2</b>	<b>3</b>
21	Does your subgroup always get the 1% pay progression post the assessment period? The question excludes the persons who are serving their probation.	<b>1</b>	<b>2</b>	<b>3</b>
22	Has anyone in your subgroup received a performance bonus?	<b>1</b>	<b>2</b>	<b>3</b>
23	Have you ever awarded your subordinates a higher appraisal score on the basis of a factor or factors not included in the performance agreement?	<b>1</b>	<b>2</b>	<b>3</b>
24	Have you ever awarded a higher or lower appraisal score on the basis of an impression given a subordinate?	<b>1</b>	<b>2</b>	<b>3</b>
25	Are your subordinates allocated more or less the same ratings?	<b>1</b>	<b>2</b>	<b>3</b>
26	Have you ever allocated your subordinates a rating above 3 in the absence of evidence or a portfolio of evidence?	<b>1</b>	<b>2</b>	<b>3</b>
27	Are the ratings awarded to your subordinates based on their recent performance?	<b>1</b>	<b>2</b>	<b>3</b>
28	Have you ever rated your nondeserving subordinates as average?	<b>1</b>	<b>2</b>	<b>3</b>
29	Have you ever rated your subordinates' higher because it has an impact on how you are viewed or appraised?	<b>1</b>	<b>2</b>	<b>3</b>
30	Have you ever rated your subordinates on the basis of their performance during a past financial year?	<b>1</b>	<b>2</b>	<b>3</b>

**THANK YOU FOR YOUR PARTICIPATION. NDZI KHENSILE. KE A LEBOGO.**

**NGI YA BONGA. NDI YA BULELA**